



**Central Connecticut State University**

*Start with a Dream. Finish with a Future.*

**Purchasing Department**

**REQUEST FOR PROPOSAL NO. 2017-08  
MENTORING SERVICES FOR CHILDREN WITH INCARCERATED PARENTS**

**Section 1. Administrative Overview**

**1.1 INTRODUCTION**

This is a Request for Proposals (RFP) issued by Central Connecticut State University (hereinafter referred to as the "University" or "CCSU") seeking proposals from experienced and qualified vendors to furnish Mentoring Services to Children with Incarcerated Parents (CIP).

**1.2 AUTHORITY**

This RFP is issued by CCSU under the provisions of the Connecticut General Statutes 4a-52a and 10a-151b.

**1.3 RFP ORGANIZATION** This RFP is organized into the following sections:

Section 1, Administrative Overview -- Provides Contractors with general information on the objectives of this RFP, procurement schedule, and procurement overview.

Section 2, Scope of Work -- Provides Contractors with a general description of the University, background, RFP objectives, the tasks to be performed, delineates University and Contractor's responsibilities, and defines deliverables.

Section 3, Proposal Requirements -- Describes the required format and content for the Contractor's proposal.

Section 4, Evaluation Criteria -- Describes how proposals will be evaluated by CCSU.

Appendix I	References Form
Appendix II	Instruction to Proposers
Appendix III	Proposal Certification
Appendix IV	Required Forms (CHRO Bidder Contract Compliance Monitoring Report, Nondiscrimination certification, Ethics Form1 Gift and Campaign Contribution and Ethics Form 5 Consulting Agreement)
Appendix V	Standard CSU Bid Terms and Conditions
Appendix VI	RFP Response Check List

#### 1.4 SUBMISSION OF QUESTIONS

Contractors may submit questions or requests for clarification via email to [brodeur@ccsu.edu](mailto:brodeur@ccsu.edu). The deadline for submission of questions is 4:30 p.m., E.S.T., on **September 15, 2016**. Any answers, clarifications or corrections that change the scope of this RFP will be issued as an addendum. See section 1.7

#### 1.5 SUBMISSION OF PROPOSALS

Contractors shall submit a clearly marked original and one complete copy of their proposal electronically on CD or USB flash drive. Proposals shall be received by the CCSU Purchasing Department no later than 3:00 p.m. E.S.T., on **October 13, 2016** at which time a representative of the Purchasing Department will announce publicly the names of those companies submitting proposals. No other public disclosure will be made until after the execution of the contract. Proposals shall be mailed or delivered to:

Thomas J. Brodeur, C.P.M.  
CCSU Purchasing Department, Marcus White Annex room 006  
1615 Stanley Street  
New Britain, CT 06050-4010

The outside cover of the package containing the proposal shall be marked:

**RFP 2017-08, Mentoring Services for CIP, submitted by (Name of Contractor)**

Any RFP proposal received after the date and time stated above will not be considered and will be returned to the vendor unopened. **Faxed or Emailed proposals will not be accepted at any time!!**

#### 1.6 DISQUALIFICATION OF PROPOSALS

The University reserves the right to consider as acceptable only those proposals submitted in accordance with the requirements set forth in this RFP and which demonstrate an understanding of the scope of the work. Any proposal offering any other set of terms and conditions contradictory to those included in this RFP may be disqualified without further notice.

A Contractor shall be disqualified and the proposal automatically rejected for any one or more of the following reasons:

- The proposal shows any noncompliance with applicable law.
- The proposal is conditional, incomplete, or irregular in such a way as to make the proposal indefinite or ambiguous as to its meaning.
- The proposal has any provision reserving the right to accept or reject award, or to enter into a contract pursuant to an award, or provisions contrary to those required in the solicitation.
- The Contractor is debarred or suspended

#### 1.7 ADDENDA TO THIS RFP

CCSU may need to issue one or more addenda related to this RFP. Such addenda shall be posted on the State of Connecticut Contracting Portal at <http://das.ct.gov/cr1.aspx?page=12> and on the CCSU current solicitations page at <http://www.CCSU.edu/purchasing/currentBids.html>

It shall be the responsibility of prospective contractors and other interested parties to familiarize themselves with the web site and visit it regularly during the RFP process for updated information or addenda related to this RFP

This process is intended to ensure that all vendors have equal access to information relative to this RFP. No information communicated verbally shall be effective unless confirmed by written communication from the CCSU Purchasing Department.

## 1.8 RIGHTS RESERVED

Contractors are advised that CCSU reserves the right not to make award of this contract.

## 1.9 FINAL CONTRACT

All provisions of this Request for Proposal and the successful proposal, as mutually agreed upon by subsequent negotiation, provide the specifications for, and obligations of both parties to be executed by any duly authorized representative(s). This Request for Proposal and the successful proposal will constitute the fundamental outline of the awarded contract.

## 1.10 INSPECTION OF PROPOSALS and CONFIDENTIAL INFORMATION

The University treats each Proposal as confidential until after the Contract is executed. At that time they become subject to disclosure under the Freedom of Information Act (FOIA). If a respondent wishes to supply any information, which it believes is exempt from disclosure under the FOIA the respondent should summarize such information in a separate envelope and each page submitted should clearly state "Confidential," but otherwise be presented in the same manner as the Proposal. However, any such information is provided entirely at the respondent's own risk and the University assumes no liability for any loss or damage which may result from the University's disclosure at any time of any information provided by the respondent in connection with its proposal

## 1.11 CONTRACT

CCSU shall enter into a Contract with the awarded contractor for the services described herein. All provisions of this Request for Proposal and the successful proposal, as mutually agreed upon by subsequent negotiation, provide the specifications for, and obligations of both parties to be executed by any duly authorized representative(s). This Request for Proposal and the successful proposal will constitute the fundamental outline of the awarded contract.

A sample draft of the anticipated award contract is included here as Attachment A, Contract Draft. This draft is provided for information ONLY. Final award contract will be subject to the terms of this RFP, the awarded company's proposal and subsequent negotiations.

## 1.12 TERM OF CONTRACT

The term of a contract resulting from this RFP will be for five (5) years from contract start date.

## 1.13 CONTRACT EXCLUSIVITY

Any contract resulting from this RFP will not be an exclusive contract. The University will reserve the right to procure similar or related services in any manner deemed by the University to be in its own best interest.

## 1.14 RFP TERMS AND CONDITIONS

The terms and conditions should be reviewed carefully to ensure full responsiveness to the RFP. The anticipated agreements will be, in form and substance, consistent with applicable University policy and regulations and State of Connecticut statutes and regulations regarding the creation and execution of such contracts. The failure of any respondent to receive or examine any contract, document, form, addenda or to visit the sites and acquaint itself with conditions there-existing, will not relieve it of any obligation with respect to its proposal or any executed contract. The submission of a proposal shall be conclusive evidence and understanding of the University's intent to incorporate such terms and conditions into the resulting contract.

## 1.15 ADVERTISING

In submitting a proposal, the Vendor agrees, unless specifically authorized in writing by an authorized representative of CCSU on a case by case basis, that it shall have no right to use, and shall not use, the name of Central Connecticut State University, its officials or employees, or the Seal of the University, a) in any advertising, publicity, promotion; nor b) to express or imply any endorsement of agency's services; nor c) to use the name of the state, its officials or employees or the University seal in any manner (whether or not similar to uses prohibited by subparagraphs (a) and (b) above) except only to manufacture and deliver in accordance with this agreement such services as are hereby contracted by the University.

## 1.16 IMMUNITY FROM LIABILITY

Every person who is a party to this agreement is hereby notified and agrees that the University is immune from liability and suit for or from vendor's activities involving third parties and arising from any contract resulting from this Request for Proposal.

## 1.17 PREVAILING LAW

The terms and provisions of this Request for Proposal, and any ensuing contract, shall be governed by and construed in accordance with the laws of the State of Connecticut.

## 1.18 CONTRACT TERMINATION FOR CAUSE

The University may terminate any resulting contract for cause The University may terminate any resulting contract for cause by providing a Notice to Cure to the Vendor citing the instances of noncompliance with the contract.

1.18.1 The Vendor shall have ten (10) days to reply to the Notice to Cure and indicate why the contract should not be terminated and recommend remedies to be taken.

1.18.2 If the Vendor and the University reach an agreed upon solution, Vendor shall then have thirty (30) days after such agreement is reached to cure the noncompliance cited in the Notice to Cure.

1.18.3 If a mutually agreed upon solution cannot be reached within ten (10) days after receipt of Notice to Cure by Vendor, the University reserves the right to terminate the agreement.

1.18.4 If the mutually agreed upon solution is not implemented within thirty (30) days from the date of agreement, the University reserves the right to terminate the contract. Or if the noncompliance recurs the university reserves the right to terminate the contract.

## 1.19 TERMINATION FOR CONVENIENCE

The University may terminate performance or work under the contract in whole or in part whenever, if for any reason the University shall determine that such termination is in the best interest of the University and/or the State of Connecticut.

The resultant contract shall remain in full force and effect for the entire term of the contract period unless cancelled by the University, by providing the Vendor thirty (30) days written notice of such intention. If the University elects to terminate the contract pursuant to this provision, the Contract Administrator and/or designee shall notify the vendor by certified mail, return receipt requested. Termination shall be effective as of the close of business on the date specified in the notice

## 1.20 SUSTAINABILITY and GREEN CAMPUS INITIATIVE

In the interest of supporting CCSU's initiative to reduce waste and extraneous use of natural resources, CCSU is requesting the following –

- All proposals should be submitted on two-sided recycled paper where possible.
- Proposers should refrain from using excessive and unnecessary packaging when shipping or mailing their responses.
- Proposers should refrain from using superfluous binders where possible.
- Proposers should consider presenting peripheral information (i.e. company and product brochures) on CD or DVD where possible or practical.

## 1.21 EXECUTIVE ORDERS

The Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the Contract as if they had been fully set forth in it. At the Contractor's request, the Client Agency shall provide a copy of these orders to the Contractor. The Contract may also be subject to Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, in accordance with their respective terms and conditions.

## 1.22 NONDISCRIMINATION STATEMENT

Central Connecticut State University is an affirmative action equal opportunity institution. The University will not knowingly do business with any bidder, contractor, subcontractor or supplier of materials found to be in violation of any state or federal antidiscrimination law.

## 1.23 FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA)

The Contractor acknowledges that all information related to services provided is subject to the Family Educational Rights and Privacy Act ("FERPA") and agrees that it will utilize such information only to perform the services required by this agreement and for no other purpose. The Contractor further agrees that it will not disclose such information to any third party without the prior written consent of the student to whom such information relates.

## **Section 2. Scope of Work**

### **2.1 BACKGROUND**

Parental incarceration may be the greatest threat to children's wellbeing in our nation,<sup>1</sup> and mentoring is one potential intervention strategy. This Request for Proposals by the Institute for Municipal and Regional Policy at Central Connecticut State University is intended to support mentoring for children with incarcerated parents, and to complement the federal funding initiative "OJJDP FY 2014 Practitioner-Researcher Partnership Mentoring Children of Incarcerated Parents Demonstration Program" sponsored by the Office of Juvenile Justice and Delinquency Prevention. While the initiatives are similar in many ways, the Connecticut initiative intends to add value by supporting development of a new mentoring model rather than enhancement of existing models. In many cases this solicitation uses wording similar or identical to that in the federal solicitation, while in other places original text is used to reflect the IMRP's different focus.

Since fiscal year 2008, the Institute for Municipal & Regional Policy (IMRP) at Central Connecticut State University has been receiving annual funding from the Connecticut General Assembly to administer competitive grants for providing positive interventions for at-risk youth whose parent(s) and/or family members have been incarcerated. In recognition of the significant growth and development of the work performed with these funds, the IMRP established the Children with Incarcerated Parents (CIP) Initiative, within which the numerous and diverse projects addressing parental incarceration occur. The CIP Initiative continually seeks to expand the understanding of these children and their service needs through research, evaluation and outreach activities. As such, the CIP Initiative, in collaboration with faculty members from Connecticut's public universities, as well as other colleges and universities, is evaluating the effectiveness of direct care services in alleviating negative responses to parental incarceration and improving the positive attributes of CIP. The mission for the IMRP's CIP Initiative is to improve the quality of supports for children with incarcerated parents by using the various data and knowledge it gains to inform public policy and practice.

The IMRP's mission is to effectively advance and ensure a just, equitable, and inclusive Connecticut through nonpartisan research, public policy analysis and development, and community engagement. Other initiatives that the IMRP is involved with include: [Connecticut Sentencing Commission](#), [Racial Profiling Prohibition Project](#), [Release News](#), [Commission on Racial and Ethnic Disparity in the Criminal Justice System](#), Pew-MacArthur Results First Initiative, and New Haven Youth Violence Prevention.

**For more information on the IMRP, visit <http://web.ccsu.edu/imrp>**

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<sup>1</sup>National Resource Center on Children and Families of the Incarcerated (2010). *Updates on the Bill of Rights Project*. Retrieved from <http://nrccfi.camden.rutgers.edu/policy-practice/bor-project/updates-bor-project/>

## **2.2 OBJECTIVES OF THIS RFP**

This RFP seeks responses from qualified individuals, organizations, and partnerships to demonstrate their ability to provide the following:

- Development and implementation of a mentoring model designed to target key outcomes specific to CIP (decreased stigmatization felt by the children, increased willingness and ability of children to talk about their experiences related to parental incarceration, and increased feelings of attachment to their incarcerated parents). The model must use evidence and/or theory-based practices grounded in the research literature on CIP.
- Participation in a rigorous evaluation conducted by the IMRP of the CIP-specific mentoring model.

It is the intent of CCSU to select a qualified and capable Contractor(s) that understands the University objectives, the scope of work as described herein, and can perform such work to the satisfaction of all interested parties.

The IMRP expects to make a single award under this RFP for a project period of five (5) years. The contracted services will not be restricted to any particular town, city, or region in CT. This RFP does not specify an exact amount of funding available. Rather, the Applicant shall provide a reasonable budget for expenses needed to provide high quality services accomplishing the RFP's objectives. The proposed budget shall reflect the two phases of the five-year project:

1. Year 1 will be a planning phase. The Applicant should expect to work closely with the IMRP during this phase and should budget for adequate staffing and other expenses. Planning will involve developing (as described later) the logic model, the final mentoring model, the implementation plan, and the evaluation plan (including the design of the comparison group). While it is not expected that services will begin in Year 1, recruitment will likely begin before the end of this year. For training requirements see Section 2.3.2.2.

2. Years 2-5 will be the implementation phase. Implementation will involve recruitment, providing services to CIP and their families, and participation in the evaluation described later. Recruitment will likely begin before the end of the planning phase (Year 1), and will end at the beginning of Year 5 (i.e., year 5 will include providing services but no additional recruitment). As described later, the CIP-specific mentoring model must include both mentoring for youths and enhanced support for the youths and their families. Programs with levels of services similar to what the IMRP anticipates generally cost in the range of \$2,750 to \$3,250 per youth for one year; the Applicant must justify whatever cost is budgeted for services. Regarding the number of youths Applicants must serve, see Section 2.4.1.

## 2.3 SCOPE OF SERVICES

### 2.3.1 Target Population - Children with Incarcerated Parents

It has been estimated that 21,741 children in Connecticut had an incarcerated parent in 2010.<sup>2</sup> The target population includes children whose parent is incarcerated at the time of intake into services. For this program, the term “incarcerated” refers to: confinement in a facility, other than one’s primary residence, as prescribed by state or federal correctional or judicial authorities. Parents include biological parents, legal guardians, or caregivers with whom the child has had a relationship prior to incarceration. Furthermore, child-clients must be aware of the parental incarceration in order to participate in this mentoring program.

### 2.3.2 CIP-Specific Mentoring Model

The IMRP Mentoring Children with Incarcerated Parents Demonstration Program will advance the understanding of how mentoring can address the unique needs of CIP. This demonstration program will support the design and implementation of a mentoring model which applies current research and knowledge about CIP, their particular situations, and effective mentoring practice as applied to CIP. The model must involve providing mentors for the children and enhanced support for the children and their families. It must be designed to target key outcomes specific to CIP, described later. The Contractor will work closely with the IMRP during program development and implementation, and will participate in the IMRP’s rigorous evaluation as described in Section 2.4: Evaluation.

Each family affected by incarceration is unique, as are reactions to parental incarceration by children. However, there is evidence of increased likelihood among CIP of problems regarding mental health (e.g., trauma symptoms), physical health, antisocial behavior, and education.<sup>3,4,5</sup> While there is some evidence that mentoring can provide benefits for CIP,<sup>6</sup> there is also evidence

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<sup>2</sup> Conway, J. M., & Keays, A. (2014). *Children with incarcerated parents: A quantitative evaluation of mentoring and home-based counseling and case management services*. New Britain, CT: The Institute for Municipal and Regional Policy.

<sup>3</sup> Arditti, J. A., and Savla, J. (2015) Parental incarceration and child trauma symptoms in single caregiver homes. *Journal of Child and Family Studies*, 24, 551-561. doi:10.1007/s10826-013-9867-2

<sup>4</sup> Lee, R. D., Fang, X., & Luo, F. (2013). The impact of parental incarceration and mental health of young adults. *Pediatrics*, 131, e1188-e1195. doi: 10.1542/peds.2012-0627

<sup>5</sup> Murray, J., Farrington, D. P., & Sekol, I. (2012). Children's antisocial behavior, mental health, drug use, and educational performance after parental incarceration: A systematic review and meta-analysis. *Psychological Bulletin*, 138, 175-210. doi:10.1037/a0026407

<sup>6</sup> ICF International (2011). *Mentoring children affected by incarceration: An evaluation of the Amachi Texas program*. Fairfax, VA: Author. Retrieved from [http://www.bbbstx.org/atf/cf/%7B3058b77b-c04c-41bb-a6bd-5698207469a3%7D/RCT%20STUDY%20OF%20AMACHI%20TEXAS%20EVALUATION%20REPORT\\_DECEMBER%202011.PDF](http://www.bbbstx.org/atf/cf/%7B3058b77b-c04c-41bb-a6bd-5698207469a3%7D/RCT%20STUDY%20OF%20AMACHI%20TEXAS%20EVALUATION%20REPORT_DECEMBER%202011.PDF)



that it is less effective for CIP than for other “higher-risk youth.”<sup>7</sup> Research is needed on new mentoring approaches developed specifically to address CIP needs.

The IMRP does not anticipate that the Applicant will make adjustments to a mentoring model designed for other youth populations, but rather will apply research and knowledge on CIP to develop a model specifically to meet their unique needs.

This RFP seeks to support a CIP mentoring model which (a) targets key outcomes specific to CIP, (b) provides training to mentors and program staff in understanding CIP challenges and how to work with them, (c) includes enhanced supports for CIP and their families, and (d) incorporates elements of effective practice,<sup>8,9</sup> including involvement of the family in the mentoring process.

2.3.2.1 Targeted CIP outcomes. The CIP-specific mentoring model must focus on CIPs’ unique needs by targeting three outcomes connected to the parent’s incarceration. Addressing these CIP-specific outcomes should lead to higher overall well-being by reducing problems regarding mental and physical health, behavior, and education.

1. Feelings of stigmatization due to parent’s incarceration. CIP often feel stigmatized.<sup>10,11</sup> However, it has been argued by Adalist-Estrin<sup>10</sup> that CIP often feel shame not so much due to the parent’s crime and incarceration, but due to others’ (teachers, mentors, social workers, etc.) reactions which CIP interpret as judgmental. Internalizing of stigma can lead to lower self-esteem and self-efficacy, and to elevated mental and physical health problems.<sup>11</sup>

Adalist-Estrin’s inclusion of mentors in her list of those who potentially stigmatize CIP underscores the need for mentors to be properly trained to understand CIP challenges. The mentoring model must be one in which mentors are equipped to play a positive role in the child’s life, providing a trusting relationship in which the child feels accepted (which can reduce stigma) rather than judged.

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<sup>7</sup> Herrera, C., DuBois, D. L., & Grossman, J. B. (2013). *The role of risk: Mentoring experiences and outcomes for youth with varying risk profiles*. New York, NY: A Public/Private Ventures project distributed by MDRC. Retrieved from [http://www.mdrc.org/sites/default/files/Role%20of%20Risk\\_Final-web%20PDF.pdf](http://www.mdrc.org/sites/default/files/Role%20of%20Risk_Final-web%20PDF.pdf)

<sup>8</sup> MENTOR (2015). *Elements of effective practice for mentoring* (4<sup>th</sup> ed.). Retrieved from MENTOR: National Mentoring Partnership website: [http://www.mentoring.org/images/uploads/Final\\_Elements\\_Publication\\_Fourth.pdf](http://www.mentoring.org/images/uploads/Final_Elements_Publication_Fourth.pdf)

<sup>9</sup> Jarjoura, G. R., DuBois, D. L., Shlafer, R. J., & Haight, K. A. (2014). *Mentoring children of incarcerated parents: A synthesis of research and input from the listening session held by the Office of Juvenile Justice and Delinquency Prevention and the White House Domestic Policy Council and Office of Public Engagement*. Retrieved from the Office of Juvenile Justice and Delinquency Prevention website: <http://www.ojjdp.gov/about/MentoringCOIP2013.pdf>

<sup>10</sup> Adalist-Estrin, A. (2014, October). *What are some of the unique challenges that children of incarcerated parents face?* Presentation at the Children of Incarcerated Parents Discussion at the White House, Washington, DC. Retrieved from <http://nrccfi.camden.rutgers.edu/files/Update-white-house-remarks-.pdf>

<sup>11</sup> Phillips, S. D., & Gates, T. (2011). A conceptual framework for understanding the stigmatization of children of incarcerated parents. *Journal of Child and Family Studies*, 20, 286-294. doi:10.1007/s10826-010-9391-6

2. Willingness and ability to discuss the parent's incarceration. The “conspiracy of silence” is an important phenomenon affecting the well-being of CIP.<sup>12</sup> Due to pressure from family or to the children's own feelings of stigmatization, CIP often feel it is not safe or acceptable to talk about the parental incarceration. Rather, children may feel obliged to keep the family's secret and may not be allowed to discuss the incarceration even with family members.<sup>10</sup> Kampfner<sup>12</sup> explained the importance of CIP being willing and able to discuss their feelings and experiences, because (a) the experience of having a parent in the criminal justice system (through arrest, multiple court dates, sentencing, possible visitation, etc.) can be traumatizing and (b) talking is necessary to help children process the trauma. Willingness and ability to discuss experiences related to parental incarceration with empathic, non-judgmental adults, including the mentor and family members (including, if possible, the incarcerated parent), is therefore a critical outcome targeted by a successful mentoring model under this RPF.

3. Attachment to incarcerated parent. Murray and Murray<sup>13</sup> discussed the importance of children's attachment to caregivers and the potential disruption of attachments by parental incarceration. They argued that resulting insecure attachments could lead to mental health problems. However, this RFP recognizes that families differ in terms of the quality of the existing child-incarcerated parent relationship, and in terms of what kind of relationship the family members wish to have. A study of CIP attachment indicated that some children had very positive feelings and wished to be reunited; other children felt negative emotions such as anger or resentment toward the parent; and others had a mix of positive and negative feelings (or felt confused).<sup>14</sup>

Under this RFP the mentoring model must address the attachment relationship between the child and incarcerated parent in a way that is appropriate for the particular family. The focus should be on reducing barriers to the relationship and on supporting the relationship. Potential barriers might include (but are not limited to) children not knowing the full truth about the incarcerated parent's whereabouts, children's trauma and/or difficulty coping with feelings (e.g., ambivalence) toward the incarcerated parent, mentors' lack of comfort discussing the parent's incarceration, and difficulty navigating prison rules (e.g., for visitation or writing). The Applicant must propose a process for assessing family members' interest in pursuing the child-incarcerated parent relationship, and how and to what extent mentors and program staff can support the relationship. The incarcerated parent should generally at minimum be informed of the mentoring relationship, and the proposed process must address circumstances under which the incarcerated parent will vs. will not be informed.

2.3.2.2 Training. The model must include training and support for mentors and staff supervising mentoring matches regarding issues related to parental incarceration, in particular regarding the CIP-specific outcomes discussed earlier. CIP-focused training will be provided by

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<sup>12</sup> Kampfner, C. J. (1995). Post-traumatic stress reactions in children of imprisoned mothers. In K. Gabel and D. Johnston (eds.), *Children of incarcerated parents* (pp. 89-100). New York, NY: Lexington Books.

<sup>13</sup> Murray, J., & Murray, L. (2010). Parental incarceration, attachment and child psychopathology. *Attachment & Human Development*, 12, 289-309. doi:10.1080/14751790903416889

<sup>14</sup> Shlafer, R. J., & Poehlmann, J. (2010). Attachment and caregiving relationships in families affected by parental incarceration. *Attachment & Human Development*, 12, 395-415. doi:10.1080/14616730903417052

the IMRP, and the Applicant need not include a proposed curriculum or training design. Issues to be addressed include but are not limited to the stigma and shame associated with parental incarceration, the conspiracy of silence, honoring the child's relationship with the incarcerated parent, attachment disruption and potential for loyalty conflict, understanding the child's potential trauma, and preparing for the incarcerated parent's possible reentry into the community.

The IMRP anticipates that mentoring program staff will participate in a minimum of two days (at least 10 hours) of CIP-focused training; the goals of the training will be to prepare staff to train mentors regarding CIP, provide supervision to mentors on CIP-related issues (e.g., coaching mentors on dealing with challenges such as discussing the parent's incarceration), and provide support to children and families.

Mentors will participate in a minimum of one day (5 hours) of CIP-focused preservice training (in addition to other training the Applicant deems it necessary to provide), and a minimum of 4 hours of follow-up training (e.g., monthly or bi-monthly one-hour trainings) once mentoring has begun. The IMRP will collaborate with the Contractor on the development of mentor training curriculum (including a review of existing curriculum and policy to ensure consistency with the goals of this RFP), anticipating that the training will be provided directly by the Contractor (with support from the IMRP as needed). Applicants must indicate an intention to meet the minimum training requirements.

2.3.2.3 Mentoring Practice Elements. Elements of effective mentoring practice have been described by MENTOR (the National Mentoring Partnership)<sup>8</sup>, and application of effective practice to CIP was discussed in a report on a "listening session" organized by the White House<sup>9</sup>; the elements listed below are based on these sources. Applicants shall address their current practices in each of these areas, and how the CIP and mentoring literature will inform the new mentoring model's practices in each of these areas<sup>8,9</sup> to support CIP and achieve the CIP-specific outcomes.

1. Mentor and mentee/youth recruitment. Attempts should be made to recruit mentors from communities in which the CIP live. The mentoring model may allow for those with past criminal backgrounds to be considered as mentors, with consideration of the nature of past offenses and length of time since offenses.
2. Mentor and mentee/youth screening.
3. Mentor training (which must include an informed focus on CIP-specific issues). A recent chapter in the Handbook of Youth Mentoring<sup>15</sup> provides guidance on effective training. Note: training for staff (in addition to training for mentors) is an important component of this RFP.
4. Matching and initiating the relationship between the mentor and the CIP.
5. Monitoring and support. Often, "support" refers to providing support for the match.<sup>8</sup> The match must be monitored and supported, but in addition the CIP mentoring model must include enhanced support for the CIP and/or the CIP's family (see section 2.3.2.4).
6. Family engagement, including the community caregiver and when appropriate, the incarcerated parent. Engagement of the incarcerated parent should generally involve at

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<sup>15</sup> Kupersmidt, J. B. & Rhodes, J. E. (2014). Mentor training. In D. L. DuBois & M. J. Karcher (Eds.), *Handbook of youth mentoring* (2nd ed., pp. 439–456). Thousand Oaks, CA: Sage.

minimum informing the parent of the mentoring relationship, and ideally would involve supporting the parent-child attachment as discussed earlier.

7. External partnerships.

8. Closure of matches (including prevention of premature closure).

2.3.2.4 Enhanced support for CIP and their families. The IMRP believes that a trusting relationship with a well-trained mentor, following the elements of effective practice described in section 2.3.2.3, can provide benefits to a CIP, but also recognizes that CIPs' challenges are substantial. The CIP mentoring model must therefore include enhanced support for the CIP and/or the CIP's family, beyond supporting the match itself. The exact form of the enhanced support will be determined by the Applicant, but must involve the Applicant deploying significant expertise to address the CIP-specific outcomes described earlier. These supports may include training and support of therapeutic mentors,<sup>16</sup> intensive case management and/or counseling provided directly to children and families,<sup>17</sup> skill development addressing the youths' challenges,<sup>18</sup> community support groups for children or families, or some other appropriate approach. The applicant must explain clearly how the enhanced support will help achieve the CIP-specific outcomes.

Note that the MENTOR<sup>8</sup> effective practice elements do mention support beyond the match itself: "Program provides mentees and parents or guardians with access or referrals to relevant resources (e.g., expert advice from program staff or others, publications, Web-based resources, available social service referrals) to help families address needs and challenges as they arise" (p. 61). This RFP requires that such supports be substantial, that they not consist mainly of referrals to outside service providers, and that they are designed to help achieve the CIP-specific outcomes.

2.3.2.5 Match length. The Applicant must state a clear plan about expected match length, as well as how expected match length will be communicated to mentors and mentees. The IMRP has a preference for matches planned to last at least 12 months, given research showing that the greatest benefits come from mentoring matches lasting one year or longer.<sup>19</sup> However, it is also

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<sup>16</sup> Johnson, S. B., Pryce, J. M., & Martinovich, Z. (2011). The role of therapeutic mentoring in enhancing outcomes for youth in foster care. *Child Welfare*, 90(5), 51-69. Retrieved from <http://www.cwla.org/child-welfare-journal/>

<sup>17</sup> Bauldry, S., & Hartmann, T. A. (2004). *The promise and challenge of mentoring high-risk youth: Findings from the National Faith-Based Initiative*. Retrieved from the Annie E. Casey Foundation website: <http://www.aecf.org/m/resourcedoc/aecf-PromiseChallengeMentoringHighRiskYouth-2004.pdf>

<sup>18</sup> Taussig, H., Culhane, S., Garrido, E., & Knudtson, M. (2012). RCT of a mentoring and skills group program: placement and permanency outcomes for foster youth. *Pediatrics*, 130(1), e33-e39. doi: 10.1542/peds.2011-3447

<sup>19</sup> Grossman, J., & Rhodes, J. (2002). The test of time: predictors and effects of duration in youth mentoring relationships. *American Journal of Community Psychology*, 30, 199-219. <http://dx.doi.org/10.1023/A:1014680827552>

recognized that matches planned to last less than 12 months can have benefits.<sup>20,21</sup> If the Applicant proposes a planned match length less than 12 months, a clear justification must be provided.

### **2.3.3 Programs Not Meeting All Parameters in the RFP**

Programs that will accomplish this initiative's goals (serving CIP by targeting their specific outcomes) but do not strictly meet the parameters described in this RFP will be considered. In such cases, Applicants must make a strong argument that their proposed model will accomplish the initiative's goals.

### **2.3.4 Established Mentoring Programs**

Applicants shall demonstrate that they are established youth mentoring programs (or are partnering with established mentoring programs). The IMRP defines an established youth mentoring program as one in which an organization or agency has facilitated a mentoring relationship between youth and one or more adults or trained peers and has done the following: (1) mentor and youth recruitment, (2) screening and intake assessment, (3) matching mentees with mentors, (4) provided mentor training, (5) provided structure and supports for mentoring activities, and (6) provided monitoring and support for the mentoring match.

Applicants must provide:

1. A sample policies/procedures manual for an existing or past mentoring program run by the Applicant (Applicant must state years during which the mentoring program was active); and
2. One-paragraph summaries for each of the six points in the previous paragraph (e.g., mentor and youth recruitment), explaining how the Applicant has approached each point in a current or past mentoring program.

Applicants who are not established youth mentoring programs shall describe clear and realistic plans for development of a youth mentoring program, including documentation of relevant partnerships and other means of developing necessary capacity and expertise.

### **2.3.5 Collaborations**

The IMRP welcomes joint applications from two or more Applicants; however, one Applicant must be clearly indicated as the primary Applicant (for correspondence, award, and management purposes) and the others indicated as co-Applicants.

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<sup>20</sup> Grossman, J. B., Chan, C. S., Schwartz, S. O., & Rhodes, J. E. (2012). The test of time in school-based mentoring: The role of relationship duration and re-matching on academic outcomes. *American Journal of Community Psychology*, 49, 43-54. doi:10.1007/s10464-011-9435-0

<sup>21</sup> Wheeler, M., Keller, T., & DuBois, D. L. (2010). Review of three recent randomized trials of school-based mentoring. *Social Policy Report*, 24, 1–21. Available from <http://www.srpd.org>

The IMRP encourages partnerships between established mentoring programs and community-based organizations (CBOs; organizations which operate within a particular community and preferably in which local residents have significant influence). CBOs' deep community connections may help in recruiting CIP and their mentors, and in developing a program that will benefit CIP and their communities.

### **2.3.6 Leveraging Previous Work**

Applicants shall indicate how they will leverage experience, if any, from previous efforts to serve CIP through mentoring and other related activities. The IMRP will also work with successful Applicants to coordinate with training and technical assistance providers regarding training, materials, and other related activities.

## **2.4 EVALUATION**

The Contractor will participate in an evaluation conducted by the IMRP, which will assess the fidelity of implementation for the mentoring model as well as outcomes of the mentoring services. The outcomes evaluation will involve a rigorous study involving a CIP-specific mentoring model group and a comparison group. The Contractor will work with the IMRP to develop a logic model or "theory of change" regarding the expected effects of the mentoring model, and an evaluation protocol including an appropriate comparison group, procedures for determining the composition of groups (e.g., random assignment), and measurement of outcomes.

### **2.4.1 Number of CIP Served/Number in Comparison Group**

The Contractor must, over three years, recruit and engage a sample of CIP large enough for valid statistical inference, including at least 90 CIP (30 per year) served under the new CIP-specific mentoring model with complete data (not including cases with missing data due to attrition etc.) and at least the same number in the comparison group. "Complete data" means that valid data are provided on all measures specified in the evaluation protocol. The proposal must describe how mentors and mentees, as well as comparison group participants, will be engaged to minimize attrition and maximize participation in the evaluation (i.e., to obtain complete data). The Applicant must take into account the need to recruit and intake a larger number of CIP than that specified for the evaluation, because not all CIP who enter the program will provide complete data.

One reason necessitating a larger recruitment pool than the evaluation sample size is that recruited youths/families may decline participation in the evaluation (e.g., one study reported that a very large number of youths/families declined participation).<sup>6</sup> Also, attrition may occur (1) after recruitment but before intake/baseline measurement, and/or (2) after intake baseline measurement but before follow-up measurement.

The more effectively the Applicant engages children and families, the lower attrition is likely to be. The proposal shall describe how the Applicant will work to minimize attrition at both stages and maximize participation in the evaluation. Attrition rates will depend on circumstances such

as the Applicant's efforts, but previous research shows that attrition can vary widely. One study found only 19% attrition over the 13 months from baseline to follow-up (and almost none from recruitment to baseline),<sup>7</sup> whereas another showed approximately 50% attrition to 18 months.<sup>6</sup>

#### **2.4.2 Comparison Group**

The Applicant must propose an appropriate comparison group design. Ultimate design of the comparison group will be determined jointly by the Contractor and the IMRP. The comparison group:

- a. must consist of CIP;
- b. must participate fully in the evaluation (i.e., provide the same data as those in the CIP mentoring group);
- c. may be either randomly assigned from the same initial pool as the CIP mentoring group, or may be a separate group determined without random assignment (in which case, comparison group CIP should be as comparable as possible to those in the CIP mentoring group), but preference will be given to an evaluation design involving random assignment;
- d. may receive services such as mentoring not designed specifically for CIP, other services, or no services (the final plan will be negotiated with the IMRP); if the comparison group receives services, those services will not be funded under this RFP (though the cost of engaging comparison youths/families in the evaluation will be funded under this RFP); and
- e. cannot later participate in the CIP mentoring condition. This is because we intend to track long-term outcomes (e.g., educational and judicial data).

#### **2.4.3 Outcome Assessments**

The Applicant must indicate that staff will be available to participate in carrying out assessments as necessary to measure outcomes; staff must also participate in training provided by the IMRP for collecting data as specified in the evaluation protocol. The IMRP anticipates that a pretest-posttest approach will be used with assessments at intake and at specified follow-up intervals, e.g., 6, 12, and/or 18 months from intake. At each time point the Contractor will be responsible for administration of surveys to participants, which the IMRP anticipates to include the youths, their mentors, their community caregivers, and possibly caseworkers. The Applicant must provide a plan for survey administration (e.g., location, who will administer surveys) to participants in both the CIP mentoring group and the comparison group.

Early termination being a concern for CIP, the Applicant must propose a plan for keeping CIP and families engaged, and for monitoring and minimizing attrition from services and the evaluation. This plan must include keeping comparison group participants engaged in the evaluation. The plan may, for example, include periodic phone calls to remind participants about upcoming assessments and confirm contact information, and incentives for participation.

All other specific outcome assessment protocols will be determined jointly by the Contractor and the IMRP, and the Applicant need not make specific proposals. The material in the next

paragraph is informational so Applicants understand the intent of the IMRP with regard to outcome assessments.

Assessments will be consistent with the logic model, including measures of the CIP-specific outcomes: stigmatization felt by the children, willingness and ability of children to talk about their experiences related to parental incarceration, and feelings of attachment to their incarcerated parents. The IMRP anticipates that other assessments will include measures of CIP well-being such as antisocial behavior and mental and physical health, mentor-mentee relationship quality, educational success, delinquency and justice involvement. Factors which may influence the effectiveness of services should also be measured, including demographics of mentors and mentees as well as the incarcerated parent (e.g., length of incarceration), and other program and CIP characteristics; moderation of mentoring effects by these factors will be addressed in the evaluation.

#### **2.4.4 Outcome Analyses**

Outcome analyses will include both “intent to treat” (including all youths assigned to the CIP-specific group, whether or not they actually receive services) and “treatment on the treated” (including only those who receive services), though the emphasis in drawing conclusions will be on intent to treat analyses.

#### **2.4.5 Fidelity Assessment**

Fidelity will be assessed during and after implementation, focusing on adherence to the program design (Section 3.3.2), quality of delivery, etc.

#### **2.4.6 Cost-Benefit Analysis**

The evaluation will also include collection of cost data from the Contractor so that a cost-benefit analysis can be done. The IMRP views cost/benefit analysis as an effective way to communicate findings from evaluation research. Cost data will include direct costs and indirect (imputed) costs.

Direct costs are any payments by the Contractor for expenses related to the mentoring program, including wages for program staff, travel, supplies/materials, and any other costs of running the program. These expenses may be covered by funds provided under this initiative, donated funds, or government payments, such as Medicaid reimbursements. Each type of expense must be documented for the cost-benefit analysis. If other funds are being leveraged to support the program, these funds must be reported to the IMRP. In particular, if the program receives Medicaid reimbursement for any youths served under this RFP, the number of youths and the amount of reimbursement must be reported to the IMRP.

Imputed costs are real costs of running the program that do not involve cash payments. One type of imputed cost is the donation of time (i.e., volunteering) by individuals or donations-in-kind by individuals or corporations. The market value of donated time and goods must be imputed. For instance, the imputed cost of a volunteer’s contribution might be based on the hourly wage that



would be paid to the volunteer if she or he were hired. Another type of imputed cost may involve resources that are expended but not paid for in cash. Examples include depreciation of facilities, office space or other resources that a parent organization has allowed the program to use rent-free (in this case, rent shall be valued at the market rate), etc.

Dollar value of benefits will be estimated based on outcomes collected as part of the evaluation described in this section of the RFP (also see Section 2.6: Performance Measures).

## **2.5 DELIVERABLES**

Contractors will submit relevant reports and deliverables to the IMRP. These will be a part of their progress reporting or special reports and include the following:

- A detailed implementation plan (a draft implementation plan must be submitted with the application; see Section 3: Proposal Requirements). The IMRP will work with successful Applicants to review and revise the draft implementation plan submitted with the application, which will be finalized within 10 months of the award period start date. The finalized plan will describe CIP-specific services offered under this program, and, if the Contractor has an existing mentoring model, how the CIP-specific services differ from the current services offered. It will include a timeline for implementation (for planning purposes, year 1 should be designated as a planning year; years 2-5 as implementation years with the final set of new clients being enrolled at the onset of the 5<sup>th</sup> year with services through the end of the 5<sup>th</sup> year). The plan will also include a protocol for the evaluation (see Section 2.4: Evaluation) incorporating the logic model.
- Practitioner friendly overview documents highlighting the project's goals and objectives.
- Practitioner friendly interim reports highlighting the project's progress and early findings.
- A detailed progress report to the IMRP every 3 months describing the status of the program implementation, progress toward the project goals including successes and challenges, budget and expense information, performance measures (see Section 2.6: Performance Measures), and any other relevant issues to the project's completion.
- A final, detailed report documenting the program design (including the logic model), to be disseminated at the IMRP's discretion.
- All new materials, protocols, procedures, manuals etc., developed under this program.

Contractors will grant permission to the University, with appropriate recognition of authorship and/or citation, to use all new materials created for scholarly, educational and public policy purposes, and use by researchers and practitioners. Contractors will further grant permission to the University to copyright, publish, duplicate, use, or disseminate the materials.

Contractors will retain the right to publish and present the materials with appropriate recognition of the University and its IMRP CIP Initiative.

## **2.6 PERFORMANCE MEASURES**

Contractors must provide data that measure the results of their work done under this RFP. The IMRP will require any Contractors to provide the data listed in the "Data Contractor Provides"

column so that the IMRP can calculate values for the “Performance Measures” column. Performance measures for this RFP are as follows (note: references to services in the control condition apply if the control condition, as determined by the Contractor and the IMRP, involves providing services):

<b>Objective</b>	<b>Performance Measure(s)</b>	<b>Definition</b>	<b>Data Contractor Provides</b>
Development and implementation of a mentoring model addressing the unique situations faced by CIP	Number of youth with whom a CIP-specific mentoring model was used.  Number youth served in the comparison condition.	The number and percentage of youth with whom a CIP-specific mentoring model was used. CIP-specific practice models include program models that have been developed based on research and knowledge specifically to address the unique situations facing CIP and their families.	The number of youth served during the reporting period using a CIP-specific mentoring model.  The number of youth during the reporting period using “comparison condition” services.
	Number and percentage of program and comparison mentors who complete training.	The number and percentage of program and comparison mentors successfully completing training during the reporting period.	Number of program and comparison mentors successfully completing training during the reporting period.  Total number of program and comparison mentors who began training during the reporting period.
	Number of program staff who complete training.	The number of program staff (for a CIP-specific mentoring model) successfully completing training during the reporting period.	Number of program staff successfully completing training during the reporting period.
	Percentage of program mentors (for a CIP-specific mentoring model), trained regarding CIP challenges during the	The number of program mentors (for a CIP-specific mentoring model), trained regarding CIP challenges during the reporting period.	Number of trained program mentors during the reporting period. Total number of trained program mentors.

	reporting period.		
	Number of program and comparison youth-mentor matches retained.	The number of program and comparison youth-mentor matches retained within the reporting period.	<p>Number of mentors who have left the program and comparison services during the reporting period.</p> <p>The total number of mentors in the program and comparison services during the reporting period.</p> <p>Number of youth who have left the program and comparison services during the reporting period</p> <p>The total number of youth in the program and comparison services during the reporting period.</p>
	Increase in youth enrolled in the program and comparison services.	Increase in the number of youth enrolled (being mentored) in program and comparison services since the beginning of the grant program.	<p>Number of youth enrolled in program and comparison services at the beginning of the reporting period.</p> <p>Number of NEW youth added in program and comparison services during the reporting period.</p>

	Number and percentage of program and comparison matches meeting criteria for a successful match.	<p>The number and percent of program and comparison matches that have <b>successfully</b> fulfilled all program criteria for a successful match. Contractors will create a predefined list of criteria that match must meet (e.g., frequency of meeting; length of match, etc.) to be considered successful.</p> <p>The total number of matches includes those matches that have met success criteria and those that have closed without meeting success criteria.</p>	<p>Number of program and comparison matches that have <b>successfully</b> fulfilled all program criteria for a successful match.</p> <p>Total number of program and comparison matches that have closed without meeting success criteria.</p>
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The IMRP does not require Applicants to submit performance data with their applications. Instead, Applicants shall discuss in their application their proposed methods for collecting data for performance measures. Refer to Section 3: Proposal Requirements for additional information.

## 2.7 HUMAN RESEARCH PARTICIPANTS REQUIREMENTS

The IMRP will conduct the evaluation of the mentoring model, and will be responsible for obtaining the necessary approvals, consistent with federal regulations, from relevant Institutional Review Boards (IRBs). IRB protocols will include procedures for obtaining informed consent/assent from research participants. The Contractor will work to obtain informed consent/assent from children and families served through this RFP, as well as mentors if appropriate.

## **Section 3. Proposal Requirements**

Each proposal must include a table of contents with page numbers for each of the required components of the proposal. Vendors must use the RFP numbering scheme in their response to allow for efficient evaluation.

All proposals must include a point-by-point response to the proposal requirements below. Each response must be cross-referenced to the corresponding numbered item in the proposal requirements and described in as much detail as possible.

Failure to respond to all points may be grounds for rejection. Likewise, failure to supply any information required to accompany the proposals may cause a rejection of the proposal as non-compliant. The University reserves the right to request additional information and/or presentations, if clarification is needed.

Proposals that do not substantially conform to the contents of the bid request, consequently altering the basis for proposal comparison, may be disregarded and considered as unresponsive.

### **3.1 PROJECT ABSTRACT**

Applications shall include a high-quality project abstract that summarizes the proposed project in 500 words or less.

Abstracts shall be:

- Written for a general public audience.
- Single-spaced, using Times New Roman 12-point font with 1-inch margins. If the IMRP funds the proposal, the abstract typically will become public information and be used to describe the work.

The abstract shall include a description of:

- The proposed method for recruiting CIP and mentors.
- The proposed mentoring model.
- The program location(s) where the CIP-specific mentoring model and comparison services (if any) will be implemented.

The abstract will **not** count against the page limit for the program narrative.

### **3.2 TITLE PAGE**

The title page shall include the title of the project, submission date, RFP name and number, and the name and complete contact information (address, telephone number, and e-mail address) for key personnel including the Applicant organization and program coordinator.

The title page will **not** count against the page limit for the program narrative.

### 3.3 PROGRAM NARRATIVE

Applicants must submit a program narrative that presents a detailed description of the purpose, goals, objectives, strategies, design, and management of the proposed program. The program narrative shall be double-spaced with 1-inch margins, not exceeding 30 pages of 8½ by 11 inches, and use Times New Roman 12-point font. Pages shall be numbered “1 of 30,” etc. The tables, charts, pictures, etc., including all captions, legends, keys, subtext, etc., may be single-spaced and will count in the 30-page limit. Material required under Section 3.5: Budget and Budget Narrative, and any additional attachments, will not count toward the program narrative page count. Project staff resumes (see Section 3.4.1) will not count toward the 30-page program narrative limit. If the program narrative fails to comply with these length-related restrictions, the IMRP may consider such noncompliance in peer review and in final award decisions.

The following sections shall be included as part of the program narrative; each section must be identified by the number and heading below.

**3.3.1. Statement of the Problem.** Applicants shall describe the nature and scope of the problem that the program will address; that is, CIPs’ unique situations including stigmatization, the conspiracy of silence, and attachment disruption; applicants may also discuss community factors (e.g., neighborhoods heavily affected by incarceration), CIPs’ personal risk and protective factors, service provision considerations, and gaps in existing knowledge and mentoring practice regarding CIP. The Applicant should use data to provide evidence that the problem exists, demonstrate the size and scope of the problem, and document the effects of the problem on the target population and the larger community. Applicants shall describe the target population and any previous or current attempts to provide mentoring for and work with CIP.

Applicants shall discuss their understanding of the variation in the target population and how this variation may affect the children’s response to the parent’s incarceration. The discussion should include but need not be limited to:

- How the quality and nature of the relationship between children and their incarcerated parent varies (e.g., whether the child lived with the parent prior to the arrest, whether the parent was the sole caregiver, etc.);
- The personal characteristics of the children;
- The length of the parent’s incarceration;
- The child’s contact with the parent during incarceration;
- The relationship between the incarcerated parent and community caregiver.

Applicants shall describe any research or evaluation studies that relate to the problem and contribute to the Applicant’s understanding of its causes and potential solutions. While the IMRP expects Applicants to review the research literature for relevant studies, they should also explore whether unpublished local sources of research or evaluation data are available.

**3.3.2. Program Design.** Applicants shall provide a detailed description of the program design, including what they will develop to specifically serve CIP. Applicants shall address each of the items included in Section 2.3: Scope of Services. The application must use the exact headings below to provide responses to each of these items:

- Target population. The target population to be served under this program, including how the Applicant will identify and recruit the target population of CIP (in line with the population included in section 2.3.1, “Target Population”).
- CIP-Specific mentoring model. A description of the Applicant’s proposed CIP-specific mentoring model (as described in section 2.3.2, “CIP-Specific Mentoring Model”), including the type of mentoring, location, and frequency of match meetings. If there are separate implementation sites, each implementation site must agree to provide the same CIP mentoring model. Describe how the Applicant will develop practices to better serve CIP, including:
  - Training. Providing training for mentors and program staff in working with CIP as described in section 2.3.2.2; the Applicant must indicate an intention to provide at least the stated minimum amounts of training as indicated in section 2.3.2.2,
  - Mentoring practice elements. Description of current mentoring practices and how the CIP and mentoring literature will inform the new mentoring model’s practices regarding elements listed in section 2.3.2.3,
  - Enhanced support for CIP and their families. Providing enhanced support for CIP and their families as described in section 2.3.2.4,
  - Match length. Match length as described in section 2.3.2.5, and most importantly,
  - CIP-specific outcomes. How the mentoring model is designed to facilitate the CIP-specific outcomes described in section 2.3.2.1 (decreased stigmatization felt by the children, increased willingness and ability of children to talk about their experiences related to parental incarceration, and increased feelings of attachment to their incarcerated parents); consideration must be given to variations in the diverse CIP population (e.g., children will vary in their relationships with the incarcerated parent).
    - Plan for supporting attachment. As indicated in section 2.3.2.1, the Applicant must propose a process for assessing family members’ interest in pursuing the child-incarcerated parent relationship, and how and to what extent mentors and program staff can support the relationship (the plan must address circumstances under which the incarcerated parent will vs. will not be informed of the mentoring relationship).
- Difference from current practices. How each of the proposed practices differ from the Applicant’s current mentoring practices.
- Established mentoring program. Applicants must provide:
  - A sample policies/procedures manual for an existing or past mentoring program run by the Applicant (Applicant must state years during which the mentoring program was active); and
  - One-paragraph summaries for each of the six points in the first paragraph of Section 2.3.4 (e.g., mentor and youth recruitment), explaining how the Applicant has approached each point in a current or past mentoring program.

- Collaborations. Description of any collaborations including the names and brief descriptions of the partners, and a brief description of each partner's role - e.g., partnerships between established mentoring programs and CBOs which might help with recruitment (as described in section 2.3.5).
- Leveraging previous work. Applicants shall indicate how they will leverage experience, if any, from previous efforts to serve CIP through mentoring and other related activities (as described in section 2.3.6).
- Manualizing. How Contractors will "manualize" the new model they develop under this program. Contractors must document and provide to the IMRP all new materials, protocols, procedures, etc., they develop under this program at the conclusion of the project (see Section 2.5: Deliverables).

**3.3.3 Participation in Evaluation.** The Applicant must describe plans for participating in the evaluation that the IMRP will conduct. The application must use the exact headings below to provide responses to each of these items:

- Number of CIP served/number in comparison group. The strategy and capacity to serve youth to reach the minimum sample size of 90 youth in the CIP-specific group with complete data, and the same number in the comparison group (as described in section 2.4.1). The plan for maximizing engagement of CIP in mentoring services and the evaluation (this includes engaging comparison group participants in the evaluation).
- Comparison group. The comparison group as described in section 2.4.2, including how the comparison group will be formed, what if any services they will receive (note: if there are multiple sites for comparison group, each site must provide the same comparison group services [if any]), and how the Applicant will ensure the comparison group's participation in the evaluation.
- Outcome assessments. How survey measures described in section 2.4.3 will be collected (e.g., location - in homes, at program site, etc.) from CIP, mentor, community caregiver, etc., for both the CIP-specific mentoring group and the comparison group. Who will be responsible for collecting survey measures (these staff will receive training from the IMRP on evaluation procedures).
- Cost-benefit analysis. The plan to document the costs of delivering the CIP-specific mentoring program services (as described in section 2.4.6).

**3.3.4. Implementation Plan.** Applicants shall submit a realistic draft implementation plan (see section 2.5) with timeline that indicates major tasks associated with the project, assigns responsibility for each, and plots completion of each task by month or quarter for the duration of the award, using "Year 1," "Month 1," "Quarter 1," etc., not calendar dates

On receipt of an award, the IMRP will work with the recipient to finalize the implementation plan. Final implementation plans will be due 10 months after the award date.

**3.3.5. Performance Measures.** The IMRP does not require Applicants to submit performance measures data with their applications. Performance measures (see Section 2.6: Performance Measures) are included as an alert that the IMRP will require successful Applicants to submit specific data as part of their reporting requirements.



For the application, Applicants shall indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

The IMRP encourages Contractors to use information from existing program records to fulfill performance measures reporting requirements rather than initiating new data collection activities for this purpose.

**3.3.6 Human Research Participants Requirements.** The IMRP does not require Applicants to submit a plan for obtaining IRB approval or for obtaining informed consent/assent from research participants. Section 2.7 is included as an alert that the IMRP will require successful Applicants to work to obtain informed consent/assent from children and families served through this RFP, as well as mentors if appropriate.

For the application, Applicants shall indicate willingness to work with the IMRP on a plan for obtaining necessary approvals, and to obtain informed consent/assent from participants.

**3.3.7. Potential Impact.** Applicants shall describe the potential impact of the demonstration program on mentoring, CIP, and public policy and practice in Connecticut.

## **3.4 CAPABILITIES AND COMPETENCIES**

**3.4.1. Experience and Capability.** Applicants shall describe the experience and capability of the Applicant organization and any contractors or subcontractors that the Applicant will use to implement and manage this effort and its associated state funding, highlighting any previous experience implementing projects of similar design or magnitude. Applicants shall highlight their experience/capability/capacity to manage subawards, including details on their system for fiscal accountability. Management and staffing patterns shall be clearly connected to the project design described earlier. Applicants shall describe the roles and responsibilities of project staff and explain the program's organizational structure and operations. Applicants shall include a copy of an organizational chart showing how the organization operates, including who manages the finances; how the organization manages subawards, if there are any; and the management of the project proposed for funding.

Applicants must address each point, identified by the heading below:

- CIP service capability. Capability to serve the target population, including experience serving communities heavily affected by incarceration and serving CIP in particular (indicate timeframe), and influence in the Applicant's organization by people affected by incarceration (e.g., residents of affected communities and/or staff who have experienced incarceration or familial incarceration).
- Capacity. Capacity to provide a mentoring program to the required number of youth under this program. Include a description of the Applicant's history of providing high-quality mentoring to youth (indicate timeframe).
- Manualizing policies and procedures. Experience manualizing and documenting policies and procedures.

- Evaluation experience. Experience participating in and capacity to complete (e.g., collect data and minimize attrition) an evaluation of similar scope and size.
- Additional training/assistance. Any training or technical assistance planned (beyond that mandated by the RFP in section 2.3.2.2) or input sought such as the use of an advisory board in developing the CIP-specific practices and the relevant expertise.
- Organizational structure of program and staff qualifications. Provide organizational structure of the proposed program and resumes for program staff (relevant education, experience and any pertinent certifications, degrees etc.). Resumes will not count toward the 30-page limit for the program narrative.

**3.4.2. Letters of Support/Memoranda of Understanding.** Applicants shall submit signed and dated letters of support or memorandum of understanding to demonstrate any partnerships designated in the proposal, to include the following:

- Expression of support for the program and a statement of willingness to participate and collaborate on it.
- Description of the partner's current role and responsibilities in the planning process and expected responsibilities when the program is operational.
- Estimate of the percent of time that the partner will devote to the planning, operation, and evaluation of the project.

## **3.5 BUDGET AND BUDGET NARRATIVE**

Applicants shall provide a budget that (1) is complete and cost-effective in relation to the proposed activities; (2) shows the cost calculations demonstrating how they arrived at the total amount requested; and (3) provides a brief supporting narrative to link costs with project activities. The budget shall cover the entire award period. Each section must be addressed and identified by the number and heading below:

**3.5.1. Budget Narrative.** The budget narrative shall thoroughly and clearly describe every type of expense. The IMRP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Note: if the comparison group receives services, those services will not be funded under this RFP (though the cost of engaging comparison youths/families in the evaluation will be funded under this RFP).

Applicants shall demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative shall be mathematically sound and correspond with the information in the budget. The narrative shall explain how the Applicant estimated and calculated all costs, and how they are relevant to the completion of the proposed project. The narrative may include

tables for clarification purposes but need not be in a spreadsheet format. The Budget and Budget Narrative shall be broken down by year, and shall indicate expenses for the planning phase in Year 1 and for the implementation phase in Years 2 through 5, as described in Section 2.2: Objectives of this RFP.

**3.5.2. Applicant Disclosure of Source of Funds and Pending Applications.** Applicants shall submit the following information as attachments to their application. While this information will not be assigned specific point values, the RFP Review Committee will, as appropriate, consider these items when rating applications.

- Applicant disclosure of pending applications relevant to the proposed project. Applicants must report any pending applications for federal, state, foundation or other funding, including but not limited to grants, subgrants and cooperative agreements, that include requests for funding to support the same project being proposed under this RFP. The reporting shall include applications for both direct and indirect (imputed) costs relevant to the proposed project (see Section 2.4: Evaluation for a description of imputed costs).
- Applicant disclosure of existing program funds. Applicants must report whether they currently receive federal, state, foundation or other funding, including but not limited to grants, subgrants, state or federal reimbursements for services, and cooperative agreements, that will be used to support the same project being proposed under this RFP. The disclosure shall include funding which covers both direct and indirect costs.

The IMRP seeks this information to avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- The federal or state funding agency.
- The solicitation name/project name.
- The point of contact information at the applicable funding agency.

Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name] does not have pending applications submitted within the last 12 months for federal, state, foundation or other funding that include requests for funding to support the same project being proposed under this solicitation.”).

## **3.6 OTHER**

Applicants shall include the following:

- Any information not covered in the RFP that you wish to disclose which further describes your organization’s level of qualification for this project.

- Disclose and describe any civil or criminal actions in which your firm or its parent or subsidiaries are currently responding or to which it responded in the last two years.

## **Section 4. Bid Evaluation Criteria**

**Evaluation** – The award of this RFP shall be based upon a comprehensive review and analysis of all proposals by the RFP committee, and negotiation of the proposal which best meets the needs of the University. The contract award will be based on a points-earned matrix derived from a technical and financial evaluation.

The award shall be made to the most responsive bidder offering the best value as determined by the University. All Vendors submitting proposals concur with this method of award and will not, under any circumstances or in any manner, dispute any award made using this method.

The University will include in its evaluation: proposals, presentations (if requested), references and interviews. In addition, the award will be predicated upon the successful negotiation of the specific terms and conditions to be included in the final agreement. The University will be the sole judge of the suitability of the proposed agreement.

All proposals will be evaluated by a committee, which will use the specific evaluation criteria listed below. Proposals will be evaluated as to the vendor's response to the following criteria:

### **Criteria**

#### **1. Qualifications and Experience**

- Capabilities and Competencies specific to this RFP (see Section 3.4.1: Experience and Capability)
  - CIP service capability
  - Capacity
  - Manualizing policies and procedures
  - Evaluation experience
  - Additional training/assistance
  - Partnerships
  - Organizational structure of program and staff qualifications
- References and MOUs

#### **2. Proposal**

- Quality, clarity and completeness of proposal, including the extent to which:
  - The proposal demonstrates an understanding of the specific concerns when working with CIP (or an acknowledgment of the absence of complete

- understanding with accompanying interest and eagerness to learn); see Section 3.3.1: Statement of the Problem
  - The program design, evaluation plan and implementation plan are realistic, achievable, and measureable; consistent with the RFP (see Section 3.3.2: Program Design, Section 3.3.3: Participation in Evaluation and Section 3.3.4: Implementation Plan); and have the potential for a significant impact as described in Section 3.3.7: Potential Impact
- Proposer's ability to establish the IMRP's confidence that their services will meet University expectations and the requirements described herein.

### 3. Costs

- Quality, clarity and completeness of budget and budget narrative (see Section 3.5: Budget and Budget Narrative), including effective use of funds to serve (and engage in the evaluation) the number of individuals specified in Section 2.4: Evaluation.

**Information Required:** Proposals should explain clearly and completely the proposer's qualifications and experience as they pertain specifically to the services outlined in this RFP.

**Supplemental Information:** As part of the weighted average review, the University may request the Vendor to supply, in writing, clarifications, additional documentation or information needed to fairly evaluate each proposal.

**Presentations:** The University reserves the right, but is not obligated, to request that each proponent provide a formal presentation of its proposal at a date and time to be determined. If required by the University, it is anticipated that such presentation will not exceed two (2) hours. No proposer will be entitled to be present during, or otherwise receive any information regarding, any other presentation of any other proposer.

**Review of References:** Each proposer is required to provide a list of references as requested above with which it has performed services similar to the one in this RFP. Please include name, title, and telephone number of a contact person at each institution. The University reserves the right, but is not obligated to, contact any organization or institution and review the system installed and implemented by any proposer as a reference.

**The University will include in its evaluation:** proposals, presentations (if requested), references and interviews. In addition, the award will be predicated upon the successful negotiation of specific terms and conditions on any resulting award or contract. The University will be the sole judge of the suitability of the proposed Agreement.

**Requests for Clarification by the University:** The University may request that any proponent clarify or supplement any information contained in any Proposal. Proposers are required to provide a written response within ten (10) business days of receipt of any request for clarification by the University.

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## Appendix I. REFERENCES

Proposals should include five institutions, of similar or the same size, where your organization has provided mentoring services similar to those you're proposing for CCSU.

**Any experience with ANY Connecticut State agency MUST be included here.**

Please include name, title, telephone number and e-mail address of a contact person at each institution.

**References may be checked electronically; the requirement for e-mail addresses is a mandatory requirement.**

References:	Institution	Contact	Telephone No.
Reference #1	_____	_____	_____
E-mail:	_____		
Reference #2	_____	_____	_____
E-mail:	_____		
Reference #3	_____	_____	_____
E-mail:	_____		
Reference #4	_____	_____	_____
E-mail:	_____		
Reference #5	_____	_____	_____
E-mail:	_____		

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## **Appendix II. INSTRUCTIONS TO PROPOSERS**

- A. Proposals must be addressed and delivered to the Purchasing Department, Central Connecticut State University, Marcus White Annex room 006, 1615 Stanley Street, New Britain, CT 06050, on or before the time and date set for closing. Proposals should be in a sealed envelope marked:

Name of Proposer:

Title of Proposal:       Mentoring Services for CIP

RFP Number:            2017-08

Proposal Due Date:    3:00 P.M., **October 13, 2016**

No telephone, telegraphic or facsimile proposals will be considered.

- B. Proposals should include one (1) original (signed in ink) and one complete copy of their proposal electronically on CD or USB flash drive
- C. Proposers may withdraw their proposals at any time prior to the time and date set for opening.
- D. No department, school, or office at the University has the authority to solicit or receive official proposals other than the Purchasing Department. All solicitation is performed under the direct supervision of the Purchasing Department and in complete accordance with University policies and procedures.
- E. The University reserves the right to conduct discussions with proposers. During this discussion period, the University will not disclose any information derived from the proposals or from discussions with other proposers. Once an award is made, the solicitation file, and the proposals contained therein, are in the public record and will be disclosed upon request.
- F. Submission of a proposal against this RFP is your acknowledgement that subjective criteria will be used in the evaluation of proposals. Award shall be made to the responsible proposer who is determined to be the most advantageous to the University. Price, although an important consideration, will not be the sole determining factor.
- G. Proposals must be provided on the Proposal Certification page. Proposals on any other form will be considered informal and will be rejected. Conditional proposals will not be considered. All proposals must be signed by an individual authorized to extend a formal proposal. Proposals that are not signed may be rejected.
- H. The University reserves the right to reject any or all proposals or any part thereof, or to accept any proposal, or any part thereof, or to withhold the award and to waive or decline to waive irregularities in any proposal when it determines that it is in its best interest to do so. The University also reserves the right to hold all proposals for a period of 60 days after the opening date and the right to accept a proposal not withdrawn before the scheduled opening date.

- I. All proposals in response to this RFP are to be the sole property of the State and subject to the provisions of section 1-19 of the Connecticut General Statutes. (re: Freedom of Information)
- J. Any alleged oral agreement or arrangement made by a vendor with any agency or employee will be superseded by the written agreement.
- K. CCSU reserves the right to correct clerical errors in the RFP or vendor proposal.
- L. No additions or changes to the original proposal will be allowed after submittal. While changes are not permitted, clarification at the request of the agency may be required at the bidder's expense.
- M. Direct all inquiries relative to the conditions and specifications listed herein and any and all other communication related to this RFP to:

Thomas J. Brodeur, C.P.M.  
Director of Purchasing  
Marcus White Annex room 006  
New Britain CT 06050  
Phone: (860) 832-2531  
Fax: (860) 832-2523  
Email: brodeur@ccsu.edu

**Appendix III. PROPOSAL CERTIFICATION**  
**Request for Proposal 2017-08**

I certify that:

- this proposal is a legal and binding offer and I have the authority to bind the proposer indicated below to the specific terms, conditions and technical specifications required in this RFP and offered in the proposer's proposal. I understand that by submitting this proposal, the proposer indicated below agrees to provide the services described in the proposal.
- the contents of the proposal are true and accurate and that the proposer has not made any knowingly false statements in the proposal.
- the proposal has been developed independently, without consultation or communication with any employee or consultant of CCSU who has worked on the development of this RFP, or with any person serving as a member of the evaluation committee, or with any other proposer or parties for the purpose of restricting competition.
- this bid is genuine and is not made in the interest of or on behalf of any undisclosed person, firm or corporation; that the proposer has not directly or indirectly induced or solicited any other proposer to put in a false or sham bid; that the proposer has not solicited or induced any person, firm or corporation to refrain from bidding; and that the proposer has not sought by collusion to obtain any advantage over any other proposer or over the University.
- we have read and understood the RFP and have submitted our proposal in accordance with the terms and conditions of the proposal specifications and agree to fulfill our legal obligations pursuant to the attached contractual provisions.

\_\_\_\_\_  
(name or firm name)

\_\_\_\_\_  
(phone no.)

\_\_\_\_\_  
(address)

\_\_\_\_\_  
(fax no.)

\_\_\_\_\_  
(address)

\_\_\_\_\_  
(federal I. D. no. or SSN)

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(date)

\_\_\_\_\_  
(title)

\_\_\_\_\_  
(email address)

For all State contracts as defined in P.A. 07-1 having a value in a calendar year of \$50,000 or more, the authorized signatory to this Agreement expressly acknowledges receipt of the State Election Enforcements Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice. See Attachment [SEEC Form 11]

\_\_\_\_\_/\_\_\_\_\_  
Initial      Date

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**Appendix IV. Required Paperwork**  
**COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES**  
**CONTRACT COMPLIANCE REGULATIONS**  
**NOTIFICATION TO BIDDERS (rev 09/17/07)**

The contract to be awarded is subject to contract compliance requirements mandated by Sections 4a-60 and 4a-60a of the Connecticut General Statutes; and, when the awarding agency is the State, Sections 46a-71(d) and 46a-81i(d) of the Connecticut General Statutes. There are Contract Compliance Regulations codified at Section 46a-68j-21 through 43 of the Regulations of Connecticut State Agencies, which establish a procedure for awarding all contracts covered by Sections 4a-60 and 46a-71(d) of the Connecticut General Statutes.

According to Section 46a-68j-30(9) of the Contract Compliance Regulations, every agency awarding a contract subject to the contract compliance requirements has an obligation to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials.” “Minority business enterprise” is defined in Section 4a-60 of the Connecticut General Statutes as a business wherein fifty-one percent or more of the capital stock, or assets belong to a person or persons: “(1) Who are active in daily affairs of the enterprise; (2) who have the power to direct the management and policies of the enterprise; and (3) who are members of a minority, as such term is defined in subsection (a) of Section 32-9n.” “Minority” groups are defined in Section 32-9n of the Connecticut General Statutes as “(1) Black Americans . . . (2) Hispanic Americans . . . (3) persons who have origins in the Iberian Peninsula . . . (4) Women . . . (5) Asian Pacific Americans and Pacific Islanders; (6) American Indians . . .” An individual with a disability is also a minority business enterprise as provided by Section 4a-60g of the Connecticut General Statutes. The above definitions apply to the contract compliance requirements by virtue of Section 46a-68j-21(11) of the Contract Compliance Regulations.

The awarding agency will consider the following factors when reviewing the bidder’s qualifications under the contract compliance requirements:

- (a) the bidder’s success in implementing an affirmative action plan;
- (b) the bidder’s success in developing an apprenticeship program complying with Sections 46a-68-1 to 46a-68-17 of the Administrative Regulations of Connecticut State Agencies, inclusive;
- (c) the bidder’s promise to develop and implement a successful affirmative action plan;
- (d) the bidder’s submission of employment statistics contained in the “Employment Information Form”, indicating that the composition of its workforce is at or near parity when compared to the racial and sexual composition of the workforce in the relevant labor market area; and
- (e) the bidder’s promise to set aside a portion of the contract for legitimate minority business enterprises. See Section 46a-68j-30(10)(E) of the Contract Compliance Regulations.

---

**INSTRUCTIONS AND OTHER INFORMATION**

The following two (2) sided BIDDER CONTRACT COMPLIANCE MONITORING REPORT must be completed in full, signed, and submitted with the bid for this contract. The contract awarding agency and the Commission on Human Rights and Opportunities will use the information contained thereon to determine the bidders compliance to Sections 4a-60 and 4a-60a CONN. GEN. STAT., and Sections 46a-68j-23 of the Regulations of Connecticut State Agencies regarding equal employment opportunity, and the bidders good faith efforts to include minority business enterprises as subcontractors and suppliers for the work of the contract.

1) **Definition of Small Contractor**

Section 4a-60g CONN. GEN. STAT. defines a small contractor as a company that has been doing business under the same management and control and has maintained its principal place of business in Connecticut for a one year period immediately prior to its application for certification under this section, had gross revenues not exceeding ten million dollars in the most recently completed fiscal year, and at least fifty-one percent of the ownership of which is held by a person or persons who are active in the daily affairs of the company, and have the power to direct the management and policies of the company, except that a nonprofit corporation shall be construed to be a small contractor if such nonprofit corporation meets the requirements of subparagraphs (A) and (B) of subdivision 4a-60g CONN. GEN. STAT.

2) Description of Job Categories (as used in Part IV Bidder Employment Information) (Page 2)

**MANAGEMENT:** Managers plan, organize, direct, and control the major functions of an organization through subordinates who are at the managerial or supervisory level. They make policy decisions and set objectives for the company or departments. They are not usually directly involved in production or providing services. Examples include top executives, public relations managers, managers of operations specialties (such as financial, human resources, or purchasing managers), and construction and engineering managers.

**BUSINESS AND FINANCIAL OPERATIONS:** These occupations include managers and professionals who work with the financial aspects of the business. These occupations include accountants and auditors, purchasing agents, management analysts, labor relations specialists, and budget, credit, and financial analysts.

**MARKETING AND SALES:** Occupations related to the act or process of buying and selling products and/or services such as sales engineer, retail sales workers, and sales representatives including wholesale.

**LEGAL OCCUPATIONS:** In-House Counsel who is charged with providing legal advice and services in regards to legal issues that may arise during the course of standard business practices. This category also includes assistive legal occupations such as paralegal, legal assistants.

**COMPUTER SPECIALISTS:** Professionals responsible for the computer operations within a company are grouped in this category. Examples of job titles in this category include computer programmers, software engineers, database administrators, computer scientists, systems analysts, and computer support specialists.

**ARCHITECTURE AND ENGINEERING:** Occupations related to architecture, surveying, engineering, and drafting are included in this category. Some of the job titles in this category include electrical and electronic engineers, surveyors, architects, drafters, mechanical engineers, materials engineers, mapping technicians, and civil engineers.

**OFFICE AND ADMINISTRATIVE SUPPORT:** All clerical-type work is included in this category. These jobs involve the preparing, transcribing, and preserving of written communications and records; collecting accounts; gathering and distributing information; operating office machines and electronic data processing equipment; and distributing mail. Job titles listed in this category include telephone operators, bill and account collectors, customer service representatives, dispatchers, secretaries and administrative assistants, computer operators and clerks (such as payroll, shipping, stock, mail and file).

**BUILDING AND GROUNDS CLEANING AND MAINTENANCE:** This category includes occupations involving landscaping, housekeeping, and janitorial services. Job titles found in this category include supervisors of landscaping or housekeeping, janitors, maids, grounds maintenance workers, and pest control workers.

**CONSTRUCTION AND EXTRACTION:** This category includes construction trades and related occupations. Job titles found in this category include boilermakers, masons (all types), carpenters, construction laborers, electricians, plumbers (and related trades), roofers, sheet metal workers, elevator installers, hazardous materials removal workers, paperhangers, and painters. Paving, surfacing, and tamping equipment operators; drywall and ceiling tile installers; and carpet, floor and tile installers and finishers are also included in this category. First line supervisors, foremen, and helpers in these trades are also grouped in this category.

**INSTALLATION, MAINTENANCE AND REPAIR:** Occupations involving the installation, maintenance, and repair of equipment are included in this group. Examples of job titles found here are heating, ac, and refrigeration mechanics and installers; telecommunication line installers and repairers; heavy vehicle and mobile equipment service technicians and mechanics; small engine mechanics; security and fire alarm systems installers; electric/electronic repair, industrial, utility and transportation equipment; millwrights; riggers; and manufactured building and mobile home installers. First line supervisors, foremen, and helpers for these jobs are also included in the category.

**MATERIAL MOVING WORKERS:** The job titles included in this group are Crane and tower operators; dredge, excavating, and lading machine operators; hoist and winch operators; industrial truck and tractor operators; cleaners of vehicles and equipment; laborers and freight, stock, and material movers, hand; machine feeders and offbearers; packers and packagers, hand; pumping station operators; refuse and recyclable material collectors; and miscellaneous material moving workers.

**PRODUCTION WORKERS:** The job titles included in this category are chemical production machine setters, operators and tenders; crushing/grinding workers; cutting workers; inspectors, testers sorters, samplers, weighers; precious stone/metal workers; painting workers; cementing/gluing machine operators and tenders; etchers/engravers; molders, shapers and casters except for metal and plastic, and production workers.

3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

White (not of Hispanic Origin)- All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Black(not of Hispanic Origin)- All persons having origins in any of the Black racial groups of Africa.

Hispanic-All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin regardless of race.

Asian or Pacific Islander- All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes China, India, Japan, Korea, the Philippine Islands, and Samoa.

American Indian or Alaskan Native- All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

**BIDDER CONTRACT COMPLIANCE MONITORING REPORT (Page 3)**  
**PART I - Bidder Information**

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number _____ Or Social Security Number _____
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1)  -Bidder is a small contractor. Yes__ No__ -Bidder is a minority business enterprise Yes__ No__ (If yes, check ownership category) Black__ Hispanic__ Asian American__ American Indian/Alaskan Native__ Iberian Peninsula__ Individual(s) with a Physical Disability__ Female__  -Bidder is certified as above by State of CT Yes__ No__  - DAS Certification Number _____
Bidder Parent Company (If any)	
Other Locations in Ct. (If any)	

**PART II - Bidder Nondiscrimination Policies and Procedures**

1. Does your company have a written Affirmative Action/Equal Employment Opportunity statement posted on company bulletin boards? Yes__ No__	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a Conn. Gen. Stat.? Yes__ No__
2. Does your company have the state-mandated sexual harassment prevention in the workplace policy posted on company bulletin boards? Yes__ No__	8. Do you, upon request, provide reasonable accommodation to employees, or applicants for employment, who have physical or mental disability? Yes__ No__
3. Do you notify all recruitment sources in writing of your company's Affirmative Action/Equal Employment Opportunity employment policy? Yes__ No__	9. Does your company have a mandatory retirement age for all employees? Yes__ No__
4. Do your company advertisements contain a written statement that you are an Affirmative Action/Equal Opportunity Employer? Yes__ No__	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? Yes__ No__ NA__
5. Do you notify the Ct. State Employment Service of all employment openings with your company? Yes__ No__	11. If your company has apprenticeship programs, do they meet the Affirmative Action/Equal Employment Opportunity requirements of the apprenticeship standards of the Ct. Dept. of Labor? Yes__ No__ NA__
6. Does your company have a collective bargaining agreement with workers? Yes__ No__  6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers? Yes__ No__  6b. Have you notified each union in writing of your commitments under the nondiscrimination requirements of contracts with the state of Ct? Yes__ No__	12. Does your company have a written affirmative action Plan? Yes__ No__ If no, please explain.  13. Is there a person in your company who is responsible for equal employment opportunity? Yes__ No__ If yes, give name and phone number.

**Part III - Bidder Subcontracting Practices**

1. Will the work of this contract include subcontractors or suppliers? Yes\_\_ No\_\_  
 1a. If yes, please list all subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise.  
 (defined on page 1 / use additional sheet if necessary)
- 1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? Yes\_\_ No\_\_
- PLEASE COMPLETE REVERSE SIDE**

## PART IV - Bidder Employment Information

Date:

(Page 4)

JOB CATEGORY *	OVERALL TOTALS	WHITE (not of Hispanic origin)		BLACK (not of Hispanic origin)		HISPANIC		ASIAN or PACIFIC		AMERICAN INDIAN or ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Management											
Business & Financial Ops											
Marketing & Sales											
Legal Occupations											
Computer Specialists											
Architecture/Engineering											
Office & Admin Support											
Bldg/ Grounds Cleaning/Maintenance											
Construction & Extraction											
Installation , Maintenance & Repair											
Material Moving Workers											
Production Occupations											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON THE JOB TRAINEES (RES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

\* NOTE: Job categories can be changed or added to (ex. Sales can be added or replace a category not used in your company)

## PART V - Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percent used)				2. Check (X) any of the below listed requirements that you use as a hiring qualification		3. Describe below any other practices or actions that you take which show that you hire, train, show that you hire, train and promote employees without discrimination
SOURCE	YES	NO	% of applicants provided by source			
State Employment Service					Work Experience	
Private Employment Agencies					Ability to Speak or Write English	
Schools and Colleges					Written Tests	
Newspaper Advertisement					High School Diploma	
Walk Ins					College Degree	
Present Employees					Union Membership	
Labor Organizations					Personal Recommendation	
Minority/Community Organizations					Height or Weight	
Others (please identify)					Car Ownership	
					Arrest Record	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatements of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

(Signature)	(Title)	(Date Signed)	(Telephone)
-------------	---------	---------------	-------------





**INSTRUCTIONS:**

**AFFIDAVIT:**

I certify that I am authorized to execute and deliver this affidavit on behalf of

Authorized Signatory

Printed Name \_\_\_\_\_

**Sworn and subscribed to before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.**

**Commissioner of the Superior Court/  
Notary Public**

**Commission Expiration Date**

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## STATE OF CONNECTICUT

### GIFT AND CAMPAIGN CONTRIBUTION CERTIFICATION

*Written or electronic certification to accompany a State contract with a value of \$50,000 or more pursuant to C.G.S. §§ 4-250, 4-252(c) and 9-612(f)(2) and Governor Dannel P. Malloy's Executive Order 49*

#### INSTRUCTIONS:

Complete all sections of the form. Attach additional pages, if necessary, to provide full disclosure about any lawful campaign contributions made to campaigns of candidates for statewide public office or the General Assembly, as described herein. Sign and date the form, under oath, in the presence of a Commissioner of the Superior Court or Notary Public. Submit the completed form to the awarding State agency at the time of initial contract execution and if there is a change in the information contained in the most recently filed certification, such person shall submit an updated certification either (i) not later than thirty (30) days after the effective date of such change or (ii) upon the submittal of any new bid or proposal for a contract, whichever is earlier. Such person shall also submit an accurate, updated certification not later than fourteen days after the twelve-month anniversary of the most recently filed certification or updated certification.

**CHECK ONE:**    ☐ Initial Certification    ☐ 12 Month Anniversary Update (Multi-year contracts only.)  
☐ Updated Certification because of change of information contained in the most recently filed certification or twelve-month anniversary update.

#### GIFT CERTIFICATION:

As used in this certification, the following terms have the meaning set forth below:

- 1) "Contract" means that contract between the State of Connecticut (and/or one or more of its agencies or instrumentalities) and the Contractor, attached hereto, or as otherwise described by the awarding State agency below;
- 2) If this is an Initial Certification, "Execution Date" means the date the Contract is fully executed by, and becomes effective between, the parties; if this is a twelve-month anniversary update, "Execution Date" means the date this certification is signed by the Contractor;
- 3) "Contractor" means the person, firm or corporation named as the contractor below;
- 4) "Applicable Public Official or State Employee" means any public official or state employee described in C.G.S. §4-252(c)(1)(i) or (ii);
- 5) "Gift" has the same meaning given that term in C.G.S. § 4-250(1);
- 6) "Principals or Key Personnel" means and refers to those principals and key personnel of the Contractor, and its or their agents, as described in C.G.S. §§ 4-250(5) and 4-252(c)(1)(B) and (C).

I, the undersigned, am a Principal or Key Personnel of the person, firm or corporation authorized to execute this certification on behalf of the Contractor. I hereby certify that, no gifts were made by (A) such person, firm, corporation, (B) any principals and key personnel of the person firm or corporation who participate substantially in preparing bids, proposals or negotiating state contracts or (C) any agent of such, firm, corporation, or principals or key personnel who participates substantially in preparing bids, proposals or negotiating state contracts, to (i) any public official or state employee of the state agency or quasi-public agency soliciting bids or proposals for state contracts who participates substantially in the preparation of bid solicitations or request for proposals for state contracts or the negotiation or award of state contracts or (ii) any public official or state employee of any other state agency, who has supervisory or appointing authority over such state agency or quasi-public agency.

I further certify that no Principals or Key Personnel know of any action by the Contractor to circumvent (or which would result in the circumvention of) the above certification regarding **Gifts** by providing for any other Principals, Key Personnel, officials, or employees of the Contractor, or its or their agents, to make a **Gift** to any Applicable Public Official or State Employee. I further certify that the Contractor made the bid or proposal for the Contract without fraud or collusion with any person.

**CAMPAIGN CONTRIBUTION CERTIFICATION:**

I further certify that, on or after December 31, 2006, neither the Contractor nor any of its principals, as defined in C.G.S. § 9-612(g)(1), has made any campaign contributions to, or solicited any contributions on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support, any candidate for statewide public office, in violation of C.G.S. § 9-612(g)(2)(A). I further certify that all lawful campaign contributions that have been made on or after December 31, 2006 by the Contractor or any of its principals, as defined in C.G.S. § 9-612(g)(1), to, or solicited on behalf of, any exploratory committee, candidate committee, political committee, or party committee established by, or supporting or authorized to support any candidates for statewide public office or the General Assembly, are listed below:

**Lawful Campaign Contributions to Candidates for Statewide Public Office:**

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

**Lawful Campaign Contributions to Candidates for the General Assembly:**

<u>Contribution Date</u>	<u>Name of Contributor</u>	<u>Recipient</u>	<u>Value</u>	<u>Description</u>

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

\_\_\_\_\_  
**Printed Contractor Name**                      **Printed Name of Authorized Official**

\_\_\_\_\_  
**Signature of Authorized Official**

Subscribed and acknowledged before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
**Commissioner of the Superior Court (or Notary Public)**

\_\_\_\_\_  
**My Commission Expires**



## STATE OF CONNECTICUT CONSULTING AGREEMENT AFFIDAVIT

Affidavit to accompany a State contract for the purchase of goods and services with a value of \$50,000 or more in a calendar or fiscal year, pursuant to Connecticut General Statutes §§ 4a-81(a) and 4a-81(b)

### INSTRUCTIONS:

**If the bidder or vendor has entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete all sections of the form. If the bidder or vendor has entered into more than one such consulting agreement, use a separate form for each agreement. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public. **If the bidder or vendor has not entered into a consulting agreement, as defined by Connecticut General Statutes § 4a-81(b)(1):** Complete only the shaded section of the form. Sign and date the form in the presence of a Commissioner of the Superior Court or Notary Public.

Submit completed form to the awarding State agency with bid or proposal. For a sole source award, submit completed form to the awarding State agency at the time of contract execution.

This affidavit must be amended if there is any change in the information contained in the most recently filed affidavit not later than (i) thirty days after the effective date of any such change or (ii) upon the submittal of any new bid or proposal, whichever is earlier.

**AFFIDAVIT:** [ Number of Affidavits Sworn and Subscribed On This Day: \_\_\_\_\_ ]

I, the undersigned, hereby swear that I am the chief official of the bidder or vendor awarded a contract, as described in Connecticut General Statutes § 4a-81(a), or that I am the individual awarded such a contract who is authorized to execute such contract. I further swear that I have not entered into any consulting agreement in connection with such contract, **except for the agreement listed below:**

Consultant's Name and Title _____		Name of Firm (if applicable) _____
Start Date _____	End Date _____	Cost _____
Description of Services Provided: _____		

Is the consultant a former State employee or former public official? ☐ YES ☐ NO

If YES: \_\_\_\_\_  
                     Name of Former State Agency                                      Termination Date of Employment

Sworn as true to the best of my knowledge and belief, subject to the penalties of false statement.

Printed Name of Bidder or Vendor _____	<b>Signature of Chief Official or Individual</b> _____	<b>Date</b> _____
Printed Name (of above) _____		Awarding State Agency _____

**Sworn and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.**

\_\_\_\_\_  
**Commissioner of the Superior Court  
 or Notary Public**

\_\_\_\_\_  
**My Commission Expires**

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INTENTIONALLY

**STATE OF CONNECTICUT  
STATE ELECTIONS ENFORCEMENT COMMISSION  
20 Trinity Street Hartford, Connecticut 06106—1628**

**SEEC FORM 11**

**NOTICE TO EXECUTIVE BRANCH STATE CONTRACTORS AND PROSPECTIVE STATE CONTRACTORS  
OF CAMPAIGN CONTRIBUTION AND SOLICITATION BAN**

This notice is provided under the authority of Connecticut General Statutes 9-612(g)(2), as amended by P.A. 07-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (italicized words are defined below):

**Campaign Contribution and Solicitation Ban**

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract* or *state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to, or *solicit* contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee;

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to, or solicit contributions on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

**Duty to Inform**

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

**Penalties for Violations**

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties--\$2000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of \$2000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or \$5000 in fines, or both.

**Contract Consequences**

Contributions made or solicited in violation of the above prohibitions may result, in the case of a state contractor, in the contract being voided.

Contributions made or solicited in violation of the above prohibitions, in the case of a prospective state contractor, shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State will not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information and the entire text of P.A. 07-1 may be found on the website of the State Elections Enforcement Commission, [www.ct.gov/seec](http://www.ct.gov/seec). Click on the link to “State Contractor Contribution Ban.”

Definitions:

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision officially amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision officially amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is officially federally funded, an education loan or a loan to an individual for other than commercial purposes.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.



# Connecticut State University System



**Central Connecticut State University  
Eastern Connecticut State University  
Southern Connecticut State University  
Western Connecticut State University  
System Office**

## Appendix V STANDARD TERMS AND CONDITIONS

### **I. DEFINITIONS**

**The following words, when used herein, shall have the following meanings:**

1. "Contract" shall mean any agreement negotiated by and between CSU and the contractor selected by CSU as the result of a request for proposal, request for quotation, or request for bid, including, but not limited to, a personal service agreement or purchase order.
2. "CSU" shall refer to the Connecticut State University System, which is comprised of Central Connecticut State University, Eastern Connecticut State University, Southern Connecticut State University, Western Connecticut State University and the System Office, collectively and individually, as the context requires.
3. "Person" shall mean an individual, partnership, corporation or other business entity, as the context requires.
4. "Proposal" shall mean a response to a request for proposal, request for bid, or request for quotation.
5. "Proposer" shall mean a contractor that submits a response to a request for proposal, request for bid, or request for quotation.
6. "RFP" shall mean a request or invitation for proposal, bid, or quotation, as applicable.

### **II. TERMS AND CONDITIONS RELATED TO REQUESTS FOR PROPOSALS**

#### **A. General Conditions**

1. CSU reserves the right to amend or cancel an RFP prior to the date and time for the opening of proposals. CSU, in its sole discretion, reserves the right to accept or reject any and all proposals, in whole or in part, and to waive any technicality in any proposal submitted, and to accept any part of a proposal deemed to be in the best interest of CSU.
2. Proposals received from proposers debarred by the State of Connecticut will not be considered for award.
3. CSU does not commit to specific volumes of activity, nor does it guarantee the accuracy of statistical information provided in the RFP. Such information is supplied to proposers for reference only.
4. All responses to the RFP shall be and remain the sole property of CSU.
5. Each proposer shall bear all costs associated with proposer's response to an RFP, including, but not limited to, the costs of any presentation and/or demonstration required by CSU. In addition, answers or clarifications sought by CSU arising out of or in connection with the proposal shall be furnished by the proposer at the proposer's expense.
6. CSU reserves the right to negotiate, as it may deem necessary, with any or all of the proposers that submit proposals.
7. Any alleged oral agreement or arrangement made by any proposer with CSU or any employee thereof shall not be binding.

#### **B. Submission of Proposals**

1. Proposals must be submitted on forms supplied by CSU. Telephone, facsimile, or email proposals will not be accepted in response to an RFP.
2. The time and date proposals are to be received and opened are stated in each RFP issued by CSU. Proposals received in the applicable CSU purchasing department after the date and time specified in the RFP will be returned to the proposer unopened. Proposal amendments received by CSU after the time specified for opening of proposals shall not be considered.
3. All proposals must be addressed to the location designated in the RFP. Proposal envelopes must clearly state the proposal number as well as the date and time of the opening of the proposals, as stated in the RFP. The name and address of the proposer must appear in the upper left hand corner of the envelope.
4. Proposals must be computer prepared, typewritten or handwritten in ink. Proposals submitted in pencil will be rejected.
5. Proposers must answer all the questions set forth in the RFP using the outline and numbering scheme set forth therein. Proposers must furnish all information requested in the RFP and supply all materials required for consideration. Failure of the proposer to answer all questions and supply all information and materials requested may be grounds for rejection of the proposal.
6. All proposals must be signed by a person duly authorized to sign proposals on behalf of the proposer. All signatures on the proposal must be original. Proposals bearing stamp signatures will be rejected. Unsigned proposals will be rejected.
7. Alterations or corrections to the proposal must be initialed by the person signing the proposal or his or her authorized designee. All initials on alterations or corrections to the proposal must be original. In the event that an authorized designee initials an alteration or correction, the proposer must submit a written authorization from the proposal's signatory to the authorized designee, authorizing the designee to make the alteration or correction. Failure to submit such an authorization shall result in rejection of proposal as to those items altered or corrected and not initialed.
8. Conditional proposals are subject to rejection in whole or in part, in the sole discretion of CSU. A conditional proposal is defined as one that limits, modifies, expands or supplements any of the terms and conditions and/or specifications of the RFP.
9. Alternate proposals will not be considered by CSU, unless otherwise noted on the RFP or on the proposal form. An alternate proposal is defined as one that is submitted in addition to the proposer's primary response to the RFP.
10. CSU does not sponsor any one manufacturer's products, but lists equipment by name and model number to designate the quality and performance level desired. Proposers may propose substitutes similar in nature to the equipment specified. The substitute must, in the sole determination of CSU, be equal in quality, durability, appearance, strength and design to the equipment or product specified in the RFP, or offer a clear advantage to CSU because of improved or superior performance. All proposals including equipment or product substitutes must be accompanied with current descriptive literature on, and data substantiating, the equal or superior nature

- of the substitute. All final decisions concerning substitutes will be made by CSU prior to any award. The word substitute shall not be construed to permit substantial departure from the detailed requirements of the specifications.
11. Each proposer's prices must be firm for a period up to 60 days from date of the opening of proposals. Prices must be extended in decimal, not fraction, must be net, and must include transportation and delivery charges, fully prepaid by the contractor, to the destination specified in the proposal, and subject only to cash discount.
  12. Pursuant to Section 12-412 of the Connecticut General Statutes, the State of Connecticut is exempt from the payment of excise, transportation and sales taxes imposed by the Federal Government and/or the State. Accordingly, such taxes must not be included in proposal prices.
  13. If there is a discrepancy between a unit price and an extended price, the unit price will govern.
  14. By submitting a proposal, the proposer asserts that the offer and information contained therein is in all respects fair and without collusion or fraud and was not made in connection with any competing proposer's submission of a separate response to the RFP. By submitting a proposal, the proposer further asserts that it neither participated in the formation of CSU's solicitation development process nor had any knowledge of the specific contents of the RFP prior to its issuance, and that no employee of CSU participated directly or indirectly in the preparation of the proposer's proposal.
  15. It is the proposer's responsibility to check the website of the State of Connecticut Department of Administrative Services ([www.das.state.ct.us/Purchase/Portal/Portal\\_Home.asp](http://www.das.state.ct.us/Purchase/Portal/Portal_Home.asp)) for changes prior to the proposal opening. It is the responsibility of the proposer to obtain all information related to proposal submission including, without limitation, any and all addenda or supplements required.
  16. Any person contemplating submitting a proposal who is in doubt as to the true meaning of, or is in need of clarification of, any part of the RFP or the specifications set forth therein, must submit a written request for clarification to CSU. The proposer may rely only upon a response to a request for clarification set forth in writing by CSU.
  17. Proposals for the provision of services must include the cost of obtaining all permits, licenses, and notices required by the city or town in which the services is to be provided, and the State and Federal governments..
  18. Each proposer must complete and submit with its proposal the following non-discrimination and affirmative action forms: the Notification to Proposers, Contract Compliance, and EEO-1. It shall not be sufficient to declare or state that such forms are on file with the State of Connecticut. Failure to include the required forms shall result in rejection of the proposal.

**C. Samples**

1. Samples, when required by the RFP, must be submitted strictly in accordance with the requirements of the RFP.
2. Any and all required samples shall be furnished by the proposer at no cost to CSU. All samples, unless otherwise indicated, will become the property of CSU and will not be returned to the proposer unless the proposer states in the proposal that the sample's return is requested. A sample will be returned on the request of the proposer if the sample has not been rendered useless or beyond its useful life. The proposer must pay the costs associated with the return of any sample. Samples may be held by CSU for comparison with actual product deliveries.
3. The making of chemical and physical tests of samples submitted with proposals shall be made in the manner prescribed by CSU.

**D. Bonding Requirements / Guaranty or Surety**

There are no bond requirements in this RFP.

**III. CONTRACT AWARD**

1. All proposals properly submitted will be opened and read publicly. Upon award, the proposals are subject to public inspection. CSU will not prepare abstracts of proposals received for distribution, nor will information concerning the proposals received be conveyed by telephone.
2. Award will be made to the lowest responsible qualified proposer who complies with the proposal requirements. Price alone need not be the sole determining factor for an award. Other criteria, listed in the RFP, may be considered by CSU in the award determination.
3. CSU reserves the right to grant an award and/or awards by item, or part thereof, groups of items, or all items of the proposal and to waive minor irregularities and omissions if, in CSU's judgment, the best interests of CSU or the State of Connecticut will be served.
4. CSU reserves the right to correct inaccurate awards resulting from its administrative errors.
5. The Award Notice and Offer (to enter into a formal contract) shall be sent to the awarded proposer by first class certified mail, return receipt requested, to the address provided in the awarded proposal, or by overnight courier. The Notice and Offer shall constitute an offer by CSU to enter into negotiations to come to a formal contract agreement. If the proposer, within ten (10) business days of receipt of said Notice and Offer, declines to begin contract negotiations, then the offer to negotiate a contract may be withdrawn and an offer to negotiate a contract extended to the next lowest responsible qualified proposer, and so on until a contract is negotiated and executed.
6. Each proposal submitted shall constitute an offer by the proposer to furnish any or all of the commodities or services described therein at the prices given and in accordance with conditions set forth in the proposal, the RFP, and these "Standard Terms and Conditions." Acceptance and resulting contract formation shall be in a formal written document authorized by CSU's Purchasing Department and where applicable, approved by the Attorney General, and shall comprise the entire agreement between the proposer and CSU.

**IV. TERMS AND CONDITIONS RELATED TO CONTRACT WITH SUCCESSFUL PROPOSER**

By submitting a response to the RFP, the proposer agrees that any contract negotiated between it (if the successful proposer), as contractor, and CSU may contain the following provisions, as deemed applicable by CSU:

**A. General Conditions**

1. Any product developed and accepted by CSU under a contract awarded as a result of an RFP shall be sole property of CSU, unless stated otherwise in the contract.
2. Data collected or obtained by the contractor in connection with the performance of the contract shall not be shared with any third party without the express written approval of CSU.

3. The contractor shall defend, indemnify and hold harmless CSU, its officers and employees, against any and all suits, actions, legal or administrative proceedings, claims, demands, damages, liabilities, monetary loss, interest, attorney's fees, costs and expenses of whatsoever kind or nature arising out of the performance of the agreement, including those arising out of injury to or death of contractor's employees or subcontractors, whether arising before, during or after completion of the services thereunder and in any manner directly or indirectly caused, occasioned or contributed to in whole or in part, by reason of any act, omission, fault or negligence of contractor or its employees, agents or subcontractors. Without limiting the foregoing, the contractor shall defend, indemnify and hold CSU and the State of Connecticut harmless from liability of any kind for the use of any copyright or un-copyrighted composition, secret process, patented or unpatented invention furnished or used in the performance of the contract. This indemnification shall be in addition to the warranty obligations of the contractor and shall survive the termination or cancellation of the contract or any part thereof.
4. The contractor shall: (i) guarantee its products against defective materials and workmanship; (ii) repair damage of any kind, for which it is responsible, to CSU's premises or equipment, to its own work or to the work of other contractors; (iii) obtain and pay for all applicable licenses, permits, and notices; (iv) give all notices and comply with all requirements of the municipality in which the service is to be provided and of the State and federal governments; and (v) carry proper and sufficient insurance to protect the State from loss.
5. The contract shall be interpreted and governed by the laws of the State of Connecticut, without regard to its principles of conflicts of laws.
6. The contractor agrees that it shall be subject to and abide by all applicable federal and state laws and regulations.
7. The contractor agrees that the sole and exclusive means for the presentation of any claim against the State of Connecticut, the Connecticut State University or the Board Of Trustees arising from a contract with CSU, shall be in accordance with the provisions of Chapter 53 of the Connecticut General Statutes (Claims Against the State) and that no additional legal proceedings will be initiated in any state or federal court in addition to, or in lieu of, said Chapter 53 proceedings.
8. The contractor agrees that CSU shall have and retain sole and exclusive right and title in and to the forms, maps, and/or materials produced for CSU pursuant to the contract, including all rights to use, distribute, sell, reprint, or otherwise dispose of same. The contractor further agrees that it shall not copyright, register, distribute, or claim any rights in or to said maps and/or materials or the work produced under the contract.
9. The contractor or subcontractor, as applicable, shall offer and agree to assign to CSU all rights, title and interest in and to all causes of action it may have under Section 4 of the Clayton Act, 15 U.S.C. 15, or under Chapter 624 of the general statutes, arising from the purchase of services, property or intangibles of any kind pursuant to a public purchase contract or subcontract; such assignment shall be made and become effective at the time the contract is executed by the parties, without further acknowledgment by them.
10. The contractor shall not assign or otherwise dispose of the contract or its right, title or interest therein, or its power to execute such contract, to any other person without the prior written consent of CSU.
11. CSU reserves the right to inspect commodities for conformance with proposal specifications. When commodities are rejected by CSU, said commodities shall be removed by the contractor, at the contractor's expense, from the CSU premises within forty-eight (48) hours after notification of such rejection, unless public health and safety require immediate destruction or other disposal of such rejected delivery. Rejected items left longer than forty-eight (48) hours shall be considered abandoned by the contractor and CSU shall have the right to dispose of them as its own property.
12. If any provision, term or condition of the contract is prohibited, invalid, or unenforceable then that provision, term or condition shall be ineffective to the extent of the prohibition, invalidity, or prohibition without invalidating the remaining provisions, terms and conditions unless it materially alters the nature or intent thereof.
13. Should the terms of any purchase order or invoice issued in connection with the contract conflict with the terms of the contract, the terms of the contract shall prevail.
14. Failure of the contractor to deliver commodities or perform services as specified in the contract will constitute authority for CSU to purchase these commodities or services on the open market. The contractor shall promptly reimburse CSU for excess costs incurred by CSU due to these purchases, and these purchases shall be deducted by CSU from the quantities contracted for.
15. No right or duty, in whole or in part, of the contractor under the contract may be assigned or delegated without the prior written consent of CSU. The subcontracting or assignment of any of contractor's obligations under the contract to a subcontractor shall require the prior written approval of CSU.
16. Upon termination of the contract by CSU, the contractor shall both immediately discontinue all services (unless the notice directs otherwise) and deliver to CSU all data, drawings, specifications, reports, estimates, summaries, and such other information and materials as may have been accumulated by the contractor in performing its duties under the contract, whether completed or in progress. All such documents, information, and materials shall become the property of CSU.
17. The State of Connecticut shall assume no liability for payment for services under the terms of the contract until the contractor is notified that the contract has been accepted by CSU and, if applicable, approved by the Office of Policy and Management ("OPM") or the Department of Administrative Services ("DAS") and by the Attorney General of the State of Connecticut.

**B. Insurance**

1. Before commencing to perform services pursuant to the contract, the contractor shall obtain, at its own cost and for the duration of the contract, the following insurance:
  - (a) Commercial General Liability: \$1,000,000 combined single limit per occurrence for bodily injury, personal injury and property damage. Coverage shall include Premises and Operations, Independent Contractors, Products and Completed Operations, Contractual Liability and Broad Form Property Damage coverage. If a general aggregate is used, the general aggregate limit shall apply separately to the project or the general aggregate limit shall be twice the occurrence limit.
  - (b) Automobile Liability: \$1,000,000 combined single limit per accident for bodily injury. Coverage extends to owned, hired and non-owned automobiles. If the contractor does not own an automobile, but one is used in the execution of the contract, then only hired and non-owned coverage is required. If a vehicle is not used in the execution of the contract then automobile coverage is not required.
  - (c) Professional Liability: \$1,000,000 limit of liability.

- (d) Workers' Compensation and Employers Liability: Statutory coverage in compliance with the laws of the State of Connecticut. Coverage shall include Employer's Liability with minimum limits of \$100,000 each accident, \$500,000 Disease – Policy limit, \$100,000 each employee.  
An Excess Liability/Umbrella Policy may be used to meet the minimum limit guidelines.
2. The contractor shall provide copies of its Certificates of Insurance to CSU, if requested to do so. The Certificates shall include the following:
- (a) The certificate shall clearly identify the State of Connecticut, its officers, officials, employees, agents, boards and commissions as Additional Insured. The coverage shall contain no special limitations on the scope of protection afforded to the State.
- (b) The certificate shall clearly indicate the project name and project number or some easily identifiable reference to the relationship to the State.
3. The Certificates shall be signed by a person authorized by that insurer to execute contracts on its behalf. The certificate Accord Form 25 Certificate shall indicate a minimum thirty (30) day endeavor to notify requirement in the event of cancellation or non-renewal of coverage.
4. The contractor shall assume responsibility for payment of any and all deductibles applicable to the insurance policies described in Section IV.B.1 above.
5. The contractor's insurer shall have no right of recovery or subrogation against the State and the described insurance shall be primary coverage.
6. Each required policy of insurance shall provide that it shall not be suspended, voided, cancelled or reduced except after thirty (30) days' prior written notice sent by certified mail to CSU.
7. "Claims Made" coverage shall be unacceptable, with the exception of Professional Liability.

**C. Bonds**

There are no bond requirements in this RFP.

**D. Delivery**

1. Unless otherwise specified in the proposal, all products and equipment delivered pursuant to the contract shall be new and shall include any and all manufacturer's warranties.
2. Delivery shall be to the point specified in the contract.
3. All deliveries shall display, in plain sight, any related Purchase Order or Reference/Delivery Number. Failure to display said number may cause the shipment to be rejected and returned at the contractor's expense.
4. All deliveries shall be in compliance with Sections 22a-194 to 22a-194g of the Connecticut General Statutes related to product packaging.
5. Deliveries shall be subject to reweighing on official sealed scales designated by the State and payment shall be made on the basis of net weight of materials received.
6. Payment terms are net forty-five (45) days after receipt of goods or invoice, whichever is later. State of Connecticut certified small or minority contractors are payable under terms net thirty (30) days.
7. Monies owed to CSU or the Department of Revenue Services (DRS) by the contractor shall be deducted from current obligations.

**E. Inspection and Tests**

1. The inspection of all commodities and the making of chemical and physical tests of samples of deliveries to determine whether or not the contract specifications are being complied with shall be made in the manner prescribed by CSU.
2. Any item that fails in any way to meet the terms or specifications set forth in the contract is subject to be paid for at an adjusted price or rejected, in the discretion of CSU.
3. After delivery and installation of any equipment provided pursuant to the contract, the contractor shall certify to CSU that the equipment has been properly installed and is ready for use. Thereafter, for a test period of sixty (60) days, CSU shall operate the system in accordance with its normal operating practices. The acceptance test shall determine if the equipment's operating characteristics meet the performance standards set forth in the contract.

**F. Advertising**

Reference by the contractor to sales to CSU for advertising and promotional purposes without the prior approval of CSU shall be expressly prohibited.

**Central Connecticut State University is an equal opportunity employer.  
The University will not knowingly do business with any bidder, contractor, subcontractor or  
supplier of materials found to be in violation of any state or federal antidiscrimination law.**

## **Appendix VI. RFP RESPONSE CHECK LIST**

A COMPLETE BID RESPONSE WILL INCLUDE THE SUBMISSION OF ALL THE ATTACHMENTS LISTED BELOW. PARTIAL ANSWERS AND/OR MISSING ATTACHMENTS MAY DEEM YOUR RESPONSE AS NON-COMPLIANT. NON-COMPLIANT BIDS ARE DISQUALIFIED FROM CONSIDERATION.

- [       ]      Signed Proposal Certification (Appendix III)
  - [       ]      Complete Fee Schedule
  - [       ]      Form of Proposal **(complete response to requirements in Section 3.1 – 3.6 and all subsections)**
  - [       ]      References Form (Appendix I)
  - [       ]      CHRO Paperwork, Nondiscrimination Certification, and OPM Ethics forms 1 and 5
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